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ABSTRACT

Based on a research study that assessed the process of institutional advancement at selected small, independent colleges, this monograph provides data designed to help small college presidents, trustees, and advancement personnel focus on the advancement of their institution rather than its termination. Chapter One discusses the concept of institutional advancement, the significance of the study and the procedure of the study. Chapter Two examines the framework of the study. Chapter Three provides data on institutional identification, general management, fund raising, institutional relations, publications, alumni programs, government relations, and general organizational charts. Chapter Four looks at assessment in the areas of institutional commitment, authority and organizational structure, personnel resources, advancement activities and function, and evaluation as an integral part of advancement. The final chapter offers a brief conclusion which suggests that effective advancement must be accompanied by external factors such as state and federal government cooperation. Appendices include the questionnaire and cover letter used in the study, colleges participating in the study, and suggestions for additional research. Tables and a bibliography are provided. (LC)

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The Small College Advancement Program: Managing for Results

by Wesley Kenneth Willmer, Ph.D.

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INTRODUCTION

Many of America's small, independent colleges are so imperiled that educators in these institutions are motivated more by the fear of closure than by the prospect of advancement. For a variety of reasons, many institutions of higher learning have closed, are closing, or will close in the future. If the projected enrollment decline is concentrated in the smaller colleges, the decade of the 1980s may see as many as 200 such institutions close their doors.[1] Many of those institutions that do remain open will continue to face the threat of closure. Colleges with an active institutional advancement program have a better chance of gaining constituency support and thus a better chance for survival in the days ahead.

The struggle for survival is not a new phenomenon; it has always been an integral part of American higher education, particularly for small, independent colleges. In 1641 Harvard sent a trio of preachers to England on a "begging mission." In 1838 the University of Michigan borrowed $100,000 to get started. In 1873, lack of funds forced Miami University to close for 12 years. On October 21, 1896, Stanford University's president wrote that "for the three years following the death of Senator Stanford this institution has had a constant life and death struggle."[2] It is no wonder that many American colleges are named after benefactors: Harvard, Brown, Rutgers, Dickinson, Williams, Hamilton, and numerous others are named for generous donors.[3]

But not all colleges found a benefactor or other solution to their financial problems. Brubacher and Rudy report that "of five hundred colleges founded in sixteen representative states before the Civil War only a little more than one hundred survived as permanent institutions."[4] Patillo and MacKenzie estimate that only 20 percent of the colleges founded during the 19th century have survived.[5] It appears that the very nature of small, independent colleges makes them candidates for extinction.

About 21.5 percent of all higher educational institutions--one third of all the institutions offering at least a bachelor's degree and more than half of all private four-year colleges in this country--are unknown beyond their community. They are called the "invisible colleges."[6]

Alexander W. Astin and Calvin B. T. Lee describe the invisible college as

> ... the third-class citizen, the unassimilated, the outsider. It faces most of the same problems [as

> other schools] but always on a more severe scale. Because the invisible college is private, it gets only limited support from the state. Because it is unknown it suffers in the competition for federal grants. Because its financial resources are pitifully scant, it cannot make attractive offers to students needing financial help.... Because the invisible college is often church related in a society that is increasingly secular, it must grapple with the question of retaining affiliation or severing the bonds with its parent church.[7]

To survive and advance in the future, the small, independent college must retain the support of former students and actively cultivate the interest and understanding of its many publics--alumni, parents, businesses, foundations, and churches. This is the role of development or institutional advancement--to create among all constituencies "an understanding of the institution's missions, services, and accomplishments and thereby to generate goodwill and voluntary financial support to sustain its educational objectives."[8]

Published research has tended to concentrate on how the small college can reduce expenditures rather than how it can increase revenues. But by developing and maintaining a strong program of institutional advancement, a small college can deal in a positive way with its resource development problems.

The purpose of the research study on which this monograph is based was to assess the process of institutional advancement at selected small, independent colleges. The data that resulted can help small college presidents, trustees, and advancement personnel focus on the advancement of their institution rather than its termination.

NOTES

[1]U.S. Government Printing Office, The Condition of Education, 1980. Washington D.C.

[2]Orrin L. Elliott, Stanford University: The First Twenty-Five Years (Stanford: Stanford University Press, n.d.), p. 276.

[3]Carnegie Commission on Higher Education, The More Effective Use of Resources (New York: McGraw-Hill Book Company, 1973), p. 145.

[4]John S. Brubacher and Willis Rudy, Higher Education in Transition: A History of American Colleges and Universities, 1636-1968 (Harper and Row, 1976).

[5]Manning M. Pattillo, Jr. and Donald M. MacKenzie, Church-Sponsored Higher Education in the United States: Report of the Danforth Commission (Washington, D.C.: American Council on Education, 1966).

[6]Alexander W. Astin and Calvin B. T. Lee, The Invisible Colleges: A Profile of Small Private Colleges with Limited Resources (New York: McGraw-Hill Book Company, 1972), p. 10.

[7]Ibid, p. 11.

[8]The New International Encyclopedia of Higher Education (San Francisco: Jossey-Bass, Inc., 1977), p. 1268.

CHAPTER 1: THE STUDY

This study addresses the need to improve the process of institutional advancement at small, independent colleges as one means of dealing with their financial stress and their preoccupation with survival.

In the public sector of higher education, voluntary support is supplemental and not fundamental to institutional survival. However, to the small, independent college (usually unendowed), a good institutional image (and the subsequent annual voluntary support) is a lifeline for the institution--often comprising 10 to 30 percent of the annual budget.[1] The activities that a college undertakes to encourage voluntary support from various constituents are generally organized in the development or institutional advancement office.

The Concept of Institutional Advancement

The term "institutional advancement" was basically unknown 10 years ago although many of the activities of advancement have been performed since the beginning of American higher education. Fifty years ago the word "development" was first used to describe a long-range fund-raising campaign for a college or university.[2]

In 1957, the American Alumni Council and the American College Public Relations Association jointly undertook a major study (funded by the Ford Foundation) entitled The Advancement of Understanding and Support of Higher Education, which resulted in the "Greenbrier Report." This was the first major national study of the development function and it led to a more precise definition of what was meant by "development."

During the Greenbrier conference, however, a deliberate attempt was made to avoid use of the word "development" because many people associated it with fund raising. While fund raising is an important segment of the total college (especially to the small, independent college), fund raising is only one of the several purposes of institutional advancement.

John Leslie has defined the advancement program as

> an umbrella concept typically including public relations activities, alumni programs, fund raising, publications production, and, in some institutions, state and federal liaison, student recruitment, university press operations, central printing and mailing services--to mention a few.[3]

In 1975 the American Alumni Council (established in 1913) and the American College Public Relations Association (established in 1917) merged to form the Council for Advancement and Support of Education (CASE). The merger was encouraged in part by economic conditions and some duplication of membership and program contents between the two organizations. The overriding consideration, however, was that the profession of educational advancement, with its many technical specialities, required unity of purpose and direction in order to fulfill its obligations to schools, colleges, and universities.

In 1977 CASE's Handbook of Institutional Advancement, A. Westley Rowland, editor, was published by Jossey-Bass. This handbook provided credibility and continuity to institutional advancement as a field of study. Institutional advancement programs are now generally consolidated into six areas: institutional relations, fund raising, alumni administration, government relations, publications, and executive management.

Significance of Study

While there have been some studies of specific advancement activities, such as fund raising, publications, and specific alumni activities, this project is the first to describe comprehensively the advancement program process of small colleges.[4] The central focus of this research is on the process of institutional advancement, not the content or products of advancement programs. This process-oriented concern emphasizes the means or series of progressive and independent steps by which the end is attained.[5]

Procedure

The objective of this study was to assess the institutional advancement process at selected small, independent colleges. The author accomplished this by establishing "what ought to be" by developing a theoretical framework from the professional literature, by determining "what is" the advancement process by surveying a sample of small, independent colleges, and by assessing these programs and drawing conclusions by comparing "what ought to be" with "what is" the small college institutional advancement process.

The surveyed population was the membership of the Council for the Advancement of Small Colleges (CASC), as of November 1978--191 small, independent colleges. The research surveyed the entire population sample. The sample allows generalizations of findings to all small, independent American colleges with enrollments under 2,000 full-time equivalents (FTE). Because the CASC members represent a wide cross-section of colleges,

they are a rich medium for this study. As of August 1979 the 203 CASC member colleges were located in 45 of the 50 states, and enrollments ranged from a low of about 80 students to a high of just over 2,000, with a mean student FTE of approximately 950.

A questionnaire was used to collect data. The author drafted the questionnaire and then reviewed it with colleagues in higher education and institutional advancement and with data processing personnel. After reviewers' suggestions and recommendations had been incorporated into the questionnaire, it was tested among five CASC colleges to pinpoint possible response problems. These results were reviewed and reflected in the final questionnaire (Appendix A).

On November 16, 1978, the questionnaire was mailed first-class with a cover letter on CASC letterhead over the signatures of CASC President Gary H. Quehl and Chairperson of the CASC National Institute Planning Task Force Robert V. Cramer (Appendix A). It was addressed to the college presidents of the 191 CASC member institutions. A reminder postcard was sent December 5, and on December 15 a second questionnaire with a cover letter was sent to those who had not responded. The resulting response rate was very good: 141 colleges out of 191 (73.8 percent) returned their questionnaires (Appendix B).

The author reviewed the questionnaires that were returned and found no systematic bias in the sample. He then coded the questionnaires using the guidelines of a code book developed to process the data. The coded questionnaire data were keypunched along with data-definition control cards to provide the computer with the information required to process the data.

The Statistical Package for the Social Sciences (SPSS) program was used for the statistical computations executed on the data base. A series of commonly used descriptive statistics (mean, median, mode, variance, range, kurtosis, and standard deviation) were employed. In addition, a variety of inferential statistical procedures were used on the data base.

In the analysis stage, data were tabulated, organized, and presented in tables, graphs, and illustrations (see Chapter 3). Data were then interpreted by means of a theoretical framework (criteria) developed by the author from the professional literature and from consultation with professionals in the field. The author followed the guidelines of the "constant comparative method" proposed by Glasen and Strauss[6] for generating theory from data in qualitative research. This theoretical framework contains five major elements: (1) institutional commitment, (2) authority and organizational

structure, (3) personnel resources, (4) advancement activities and functions, and (5) evaluation. Using the theoretical framework, the author assessed the process of institutional advancement at the small colleges.

NOTES

[1]James A. Perkins, ed., The University as an Organization (New York: McGraw-Hill Book Company, 1973), p. 47.

[2]Robert L. Stuhr, "Development Trends in the 1970's," Bulletin on Public Relations and Development for Colleges and Universities (March 1971), p. 1.

[3]John W. Leslie, Focus on Understanding and Support: A Study in College Management (Washington, D.C.: ACPRA, 1969), p. 3.

[4]CASC recently implemented a data collection system for member institutions to compare productivity data for the analysis and management of fund-raising activities. But this project concerns itself with how much money was raised and how efficiently. Little attention is given to the process of the programs that generate these revenues.

[5]Edwin M. Bartee and Fred Cheyunski, "A Methodology for Process-Oriented Organizational Diagnosis," The Journal of Applied Behavioral Science 13 (No. 1, 1977), p. 65

[6]B.G. Glaser and A.L. Strauss, The Discovery of Grounded Field Theory (Chicago: Aldine Publishing Company, 1971), pp. 101-120.

CHAPTER 2: THE FRAMEWORK

One use of this study is to provide an institution with the opportunity to compare its programs with those of other colleges. But because every college is different, each unique in its own way, comparison with other institutions is not enough. A second means of comparison is by using standards set forth in a conceptual framework. This chapter develops such a framework.

The framework developed here is exploratory. It advances a set of standards designed to assess the process of institutional advancement at the small, independent college. Good standards, however, need a period of incubation, pampering, and refinement before they can claim maturity. Not all of these standards have undergone this process. But they serve as a starting point that can be improved upon as the field matures and becomes more sophisticated.

Throughout the framework, where standards are projected, a range rather than an absolute figure is used. "A range is preferable because advancement indicators need not be so precise as to require an absolute figure."[1] This approach also allows for a greater tolerance for the great diversity among the small colleges. Activities that are successful in one institution may be totally ineffective in another. Thus the editors of the American Alumni Council's educational fund-raising manual, Fundamentals of Educational Fund Raising, warn: "that which is right, or that which will work in one institution, is not necessarily correct for another."[2]

John Leslie concurs with this opinion: "It is difficult at this point to offer criteria for evaluating advancement programs that will be equally appropriate for all institutions of higher learning."[3] Thus an initial and exploratory attempt such as this one provides benchmarks for further testing.

It is important to keep in mind that this research focuses on the process of institutional advancement--not the products. It is concerned with means and not ends. This does not negate the importance of an assessment of the products or end results of institutional advancement programs. To the contrary, that is an important part of the programs. For a wealth of data for product and productivity assessment, consult the Council for the Advancement of Small Colleges (CASC) Planning and Data System Module on Fund Raising.[4]

The theoretical framework developed by the author contains five major elements (Illustration 1): (1) institutional commitment, (2) authority and organizational structure, (3) personnel resources, (4) advancement activities and functions, and (5) evaluation: an integral part of advancement.

ILLUSTRATION 1

PROCESS ASSESSMENT FRAMEWORK OUTLINE

I. Institutional Commitment

A. Articulation of goals, objectives, and long-range plans.

1. Institutions should have a long-range plan that includes projected program changes and a long-range budget.

2. An institution's objectives should be in writing and clearly known to the advancement officer.

3. The advancement officer should have written annual goals and objectives.

B. Budget Allocation

1. Four to eight percent of the total expenditures and general budget should be for advancement.

2. A dollar should be raised for every 25 to 40 cents spent for the advancement process.

C. Staffing Commitment

1. Two to five professional advancement personnel should be employed.

2. Two to five supporting (clerical/secretarial) staff should be employed.

II. Authority and Organizational Structure

A. Advancement Management Authority

1. The chief advancement officer should report to the president of the institution.

2. The chief advancement officer should have a position in the top executive officer's group.

B. Advancement Function Centralization and Organization

1. The institutional advancement function should be centrally managed.

2. The organizational model should foster centralization.

III. Personnel Resources

A. Professional Staff

1. The advancement manager should be experienced in advancement, knowledgeable of the institution, educated with preferably the doctorate, and assigned a title carrying authority.

2. The president should be an active fund raiser and promoter of advancement activities making more than 10 percent of the $100-plus calls and averaging more than eight calls per month.

B. Volunteers

1. Trustees and other volunteers should be involved in advancement activities.

2. The college should have an active, working trustee committee and a public relations advisory group comprised of people outside the institution.

IV. Advancement Activities and Functions

A. Fund-Raising Activities

1. Fund-raising programs should include efforts to raise annual unrestricted support, capital giving needs, and deferred gifts.

2. Gift solicitations should be made by the trustees, president, staff, and volunteers; gift acknowledgment should be made within one to three days; and the mailing list should be as large as possible.

B. Full-Fledged Advancement Programs

1. At least two to four voluntary government relations activities should be conducted each year.

2. Small colleges should have regional alumni chapters, fund the alumni organization, and have a special alumni program for recent graduates.

3. Between 1.4 and 2.0 professional staff full-time equivalents should be allocated to institutional relations.

4. The publications program should include a centralized publication policy and the mailing of a principal publication at least quarterly.

V. Evaluation: An Integral Part of Advancement

A. Institutional Goals and Advancement Practice: Advancement programs should contribute to the major public relations goals of attracting prospective students, raising funds, and building and holding good will for the institution.

B. Evaluation Tools: The advancement process should include a readership poll of publication recipients and market analysis of the donor constituency and the communication program.

Institutional Commitment

A college's institutional advancement program requires a total commitment from the entire institution, not just the administrators in the advancement office. The entire institution has an important stake in its productivity.[5]

The function of institutional advancement is as vital and as essential as any of the other major functions of the college. In the long run, institutional advancement makes possible the achievement of all other functions. What happens in the classroom, how custodians treat visitors, how secretaries answer telephones, how faculty, staff, and students interact with the community, how institutional representatives perform--these and many more concerns are part of the program of institutional advancement.[6]

To achieve an effective advancement effort, the small college needs an institutional commitment that enhances and supports the efforts of the advancement professional. Indications of this commitment are found in three areas: (1) articulation of goals, objectives, and long-range plans, (2) budget allocation to advancement efforts, and (3) commitment to sufficient staffing.

Articulation of Goals, Objectives, and Long-Range Plans

A college's philosophy toward institutional advancement is an important indication of its commitment. An institution's philosophy has a significant bearing on what kind of programs are offered and the way in which they are implemented, and it evolves out of the characteristics that identify a particular college.

A college's philosophy is expressed in its long-range plan, in the goals of its institutional advancement office, and in its written objectives. If a college does not have these three management tools, then the process of institutional advancement is going to be crippled.

Institutions should have a long-range plan that includes projected program changes and a long-range budget. Arthur C. Frantzreb, in a speech delivered at the CASC 1979 Summer Institute, called long-range plans "the basis for the organization's case for private sector support."[7] Frantzreb has written, "Institutions which do not do an adequate job of planning will have the job done for them--perhaps to the extent of being planned right out of existence."[8]

All contemporary writers in the fund-raising field stress the absolute importance of a long-range plan. Walker Williams

points out that the long-range plan is essential to developing the case statement. He goes on to say:

> It has two major components: a history, or background on organizational growth and previous accomplishments; and a projection of programs to be undertaken in the coming years, based on the capability of that organization.
>
> The case statement is primarily an internal document, used by Board and staff members to reflect and refine the ideas which will become the basis for specific projects and programs. After Board and staff consensus, this planning document then becomes the cornerstone upon which all programmatic growth and resource development strategies are laid.[9]

William Pickett found that more overproductive colleges have a case statement than underproductive colleges.[10] People need to know what they are trying to do before they can do it. "Sound planning is a prerequisite both for sound implementation of programs and for meaningful evaluation."[11] Without a long-range plan that includes projected program changes and a long-range budget, the process of institutional advancement will be ineffective and disjointed, lacking in consistent directions.

An institution's objectives should be in writing and clearly known to the advancement officer. At the Greenbrier conference, delegates agreed that "a clear statement of institutional purposes is essential for an advancement program to be effective."[12] The advancement office is responsible for interpreting the objectives of the institution to all its various constituents. If no objectives exist, then the advancement office has to assume or create them and this can be a very dangerous position. For "the institutional advancement program cannot be any more effective than the institution itself."[13] An institution must know its purpose and where it is going.[14]

David Ketchum, in remarks made before the National Assembly of the Council for Advancement and Support of Education (CASE), cautioned participants: "If you speak for an institution seeking major financial support today, you had better know in detail, as an institution, who you are, where you are, where you are going and be able to make a sound case for the wisdom of investment to help you get there."[15]

According to CASC's fundraising module, to succeed by develing an annual planning cycle a college must "define its institutional mission and goals. A focus on institutional purpose gives direction to all college-wide and departmental activities."[16]

Herbert Heston notes the change in donor attitudes as another reason for having clear institutional objectives. If there has been one notable change in the giving habits of the over-solicited American during the past decade, it has been a far greater sophistication about how to give and what institutions to support.

Whether the advancement shop is small or large, "the prerequisite for a successful performance of the development function in either is a clear and definitive statement of institutional mission."[17] The advancement office must know the purpose, mission, philosophy, and objectives of the college. This is where the college gets a clear sense of identity and purpose.[18]

The advancement officer should have written annual goals and objectives. Statements of mission, goals, and objectives should be prepared for three levels: the institution, the institutional advancement program as a whole, and individual advancement programs.[19]

A. Westley Rowland points out that determination of goals is among the major concerns in the effective management of the institutional relations program. At the outset, it is necessary to identify goals consistent with and supportive of the overall objectives of the institution. The goals need to be all-inclusive and comprehensive, both long range and short range, and they must be consistent with the policies and regulations of the governing board of the institution. These goals should be in writing.[20]

Institutional advancement must clearly define its mission. There is no greater goal than this.[21] The goals are important because they set directions; they provide a target toward which advancement efforts will be directed; they indicate priorities; and they give a real sense of what the advancement program is all about, where the program is going, and what the college wishes to achieve. Thus, goals become important operationally because they determine the level of budget needed, the number of staff, and the nature of functions and activities. These goals must be tailored to each college.[22]

The CASC fund-raising module lists the development of "institutional and departmental objectives"[23] as an essential part of the fund-raising process. Planning is an all-important necessity in an advancement office; "every step should be planned and every move set in its proper sequence."[24] It is a commonly held principle that an effective manager should spend 10 percent of the time planning. These goals must be established by the manager of the advancement program in cooperation with the staff and with the concurrence of the president.[25]

John Leslie also supports the need for written advancement goals: "The advancement program plan details the implementation of the institution's master plan; it should be in writing, and subject to frequent revision and refinement."[26]

Budget Allocation

Two good measures of the advancement process that can be quantified much more easily than most are the percentage of the total institutional budget committed to advancement and the cost of raising a gift dollar. Ranges and averages must be used and the diversity among colleges must be recognized. Without sufficient funds to perform the needed advancement functions and without at least a reasonable return of gift dollars, the process of institutional advancement does not function as it should and will not yield the desired results.

Four to eight percent of the total expenditures and general (E&G) budget should be for advancement. One of the most solid measures of an institution's commitment to the advancement program is the amount of funds that it provides. The percentage of an institution's budget spent on institutional advancement programs can be used as a quantitative measure of commitment. While an ideal percentage has not been established, the work of other researchers suggests appropriate ranges.[27]

John Leslie provided the pioneering effort in this area in the early '60s. His calculations were made on state universities, private universities, and private colleges according to gift income ranges. Table 1 shows Leslie's results by gift income range.

TABLE 1

PERCENTS OF E&G BUDGET ALLOCATED TO ADVANCEMENT PROGRAMS FOR PRIVATE COLLEGES[28]

Gift Income Range	Institutional Advancement Program/ Expense and General*
$1,500,000 - $5,000,000	4.50
1,000,000 - 1,500,000	4.25
600,000 - 1,000,000	4.25
150,000 - 600,000	4.25

*1973-76 results of John Leslie's survey of institutional advancement program expenditures.

The range is from 2 percent to 10 percent for these private colleges. In comparison, the state universities and private universities commit between 1 and 2 percent of the institution's budget for advancement. In this same study the annual expenditure for the private college advancement programs was a median of $213,000--ranging from $68,000 to $637,000.[29]

As Table 2 demonstrates, Leslie's data shows a close correlation between dollars spent for institutional advancement programs and the amount of gift income a college realizes.

TABLE 2

GIFT INCOME AND INSTITUTIONAL ADVANCEMENT EXPENDITURES

Quantile	Gift Income Range*	Median IAP
1st	1,000,000 to 3,000,000	300,000
2nd	750,000 to 1,000,000	150,000
3rd	350,000 to 750,000	111,000
4th	200,000 to 350,000	90,000

*1967-70 figures for both gift income and median IAP

In his dissertation on private undergraduate colleges, William Pickett reports that overproductive fund-raising programs spend much more than do underproductive programs. Fewer than a third (30.2 percent) of the overproductive colleges spent less than $100,000 annually on advancement programs while 63.2 percent of the underproductive colleges spent under $100,000. At the other end of the scale, 30.2 percent of the overproductive colleges spent more than $200,000 annually while only 7.9 percent of the underproductive colleges spent that on advancement.[30]

It appears from these data that in terms of fiscal 1974 dollars, $100,000 was a minimal annual advancement expenditure required for a productive fund-raising program. Almost two-thirds of the underproductive colleges spent less than $100,000 while 69.8 percent of the overproductive colleges spent $100,000 or more.

A survey of Leslie's studies over the last 15 years shows that the allocations by most institutions have leveled off as a percent of educational and general expenditures, and the trend is toward committing an increasingly smaller proportion of the E&G budget to institutional advancement.

A dollar should be raised for every 25 to 40 cents spent for the advancement process. Adequate funding is a prerequisite to the advancement process. The process becomes crippled, however, when the return of gift dollars per cost isn't sufficient. Obviously, the range of expenditures per gift dollar is very great and one must be careful in making generalizations.[31]

Both gift income and expenditures are affected by many factors, including allocation of professional staff, skill of the staff, affluence of the constituency, and geographical location. Pickett concentrated on some of these concerns.[32]

John Leslie's work again provides some useful guidelines. As Table 3 demonstrates, the cost of raising money goes down as an institution raised more money. Conversely, programs that raise the least money have the highest cents-per-dollar costs.

TABLE 3

COST OF RAISING ONE DOLLAR OF GIFT INCOME

FOR PRIVATE COLLEGES[33]

Gift Income Range ($)*	Median IAP	Median Cents Costs
1,500,000 to 5,000,000	$325,000	10¢ - 14¢
1,000,000 to 1,500,000	275,000	20 - 24
600,000 to 1,000,000	175,000	20 - 24
150,000 to 600,000	125,000	25 - 29

*Bequests have been eliminated

Leslie points out that "with few exceptions, in the past decade the cost of raising private gift dollars has increased substantially for America's institutions of higher education. But nowhere has the rise been more dramatic than among private colleges, many of which can ill afford the extra burden."[34]

In Cramer's 1965 study of the CASC college development efforts, he concluded that there was a "lack of significant correlation between the amount of money the... colleges spent in financial development and the total amount of gift received."[35]

Few, however, would disagree with Gabrielsen's conclusion that "while individual circumstance can alter the averages, an advancement program should be expected to bring in at least what is spent for the activity, and several times that within three to five years."[36]

Staffing Commitment

When A. Westley Rowland recommended a set of priorities for colleges developing an institutional advancement program, his first was: "Secure the commitment of the president of the institution to a viable institutional advancement program, properly staffed with an adequate budget."[37] And Leslie suggests, "Both organizational structure and the size of staffs are good indicators of an institution's commitment to advancing the understanding and support of its educational objectives."[38]

Jacobson agrees: "The percentage of total [college] staff employed in institutional advancement programs can be used as an indicator of organizational commitment. Staff size and full-time equivalencies are measures that are relatively easy to quantify and that offer comparisons between peer institutions."[39]

Accordingly, both professional staff and supporting clerical staff are a necessary part of the institutional advancement process.

Two to five professional advancement personnel should be employed. Obviously, not every institution needs the same number of specific professional staff. As Leslie notes: "The number of professionals is importantly related to the objectives and complexity of the advancement program, and not simply to factors such as the type of institution, its enrollment, living alumni, and location."[40]

But there is a relationship between the number of professional staff employed and the amount of gift income generated. In general, according to Leslie, the median number of staff increases with the amount of gift income.[41]

Various studies have found that professional staffs at private colleges range from three to five professionals. According to Rowland, "It is agreed by most of those who have studied the administration of the institutional advancement function that four persons, perhaps three in certain cases, constitute the minimum professional staff to implement an effective institutional relations program."[42]

Leslie also concluded that "four persons--maybe three in certain cases--constitute the minimum professional staff for an effective advancement program. Otherwise the staff would be spread so thin that effective impact would be jeopardized."[43]

Table 4 shows a representative sample of staff sizes among the private colleges in Leslie's study. The range was one to fifteen.

TABLE 4

ADVANCEMENT PROFESSIONAL STAFF FOR

PRIVATE COLLEGES BY GIFT INCOME[44]

Gift Income ($)	Median Staff Size 1970-71
Over 1,000,000	8
500,000 to 999,999	6
100,000 to 499,999	4

In his dissertation study, Gabrielsen found this range of professional staff also. He states, "Most small or private colleges have from three to five full-time professional staff."[45] Gabrielsen goes on to note that as an absolute minimum there should be one full-time professional to direct the college advancement program and one full-time assistant. Anything approaching an ideal advancement program will employ three or four full-time professionals with adequate secretarial and clerical help.[46]

Leslie cautions that a small shop is probably no better than none. Among the private colleges studied, the smaller the advancement expenditure, the less the institutional advancement median cents-costs. Leslie postulates that this may validate the adage that "a certain amount of money will inure to any institution regardless of its fund-raising efforts."[47] Thus, the one-person shop may be a phenomenon that should not exist. But many continue to believe in the one-person shop, however, as Seymour notes "...one good man, now as always, can make the light shine and work his wonders."[48]

Two to five supporting (clerical/secretarial) staff should be employed. It can be said that a professional advancement officer is only as good as the support clerical/secretarial staff allows. Good advancement personnel are out of the office with the constituents, projecting the institution. But they can do this only if competent personnel maintain the home fires--organizing special events, recording and acknowledging gifts, and maintaining a flow of information. Most of the rationale presented for professional staff applies to clerical staff also. Gabrielsen and others talk about the need for "adequate secretarial and clerical help,"[49] but the

professional literature contains no studies on staff sizes of small independent colleges.[50]

Authority and Organizational Structure

If an institution has established a commitment to institutional advancement, a complementing organizational structure is necessary to assure implementation of the advancement process. Leslie has identified several necessary components:

> An advancement program's organizational plan should:
> - establish authority and responsibility;
> - place the entire coordinated group of activities immediately under the president;
> - enable the president to centralize responsibility and accountability;
> - encourage and provide a mechanism for coordinated planning, implementation, and evaluation of all activities, such as financial support, information services, and publications;
> - provide for free flow of two-way communication;
> - insure flexibility and the implementation of structural and procedural changes as necessary.[51]

This section on organizational structure focuses on assessing two organizational process concerns: advancement management authority and advancement function centralization and organization. Several assessment criteria are developed for each area of the framework.

Advancement Management Authority

The advancement officer is important to the life and the survival of a small college. He or she should play an integral part in institutional policy decision making. To assure this, the chief advancement officer should report to the president, and should be a member of the president's administrative cabinet. As Jacobson states:

> One of the most important indicators is the degree to which the institutional advancement coordinating officer contributes to policy decisions of the University. Two major factors determine the officer's contribution to policy. These are rank and relationship with the president, other executive officers, and the governing board. The coordinating officer should have a position in the top echelons of the organizational hierachy, preferably in the executive officers' group. Many observers believe that the closer

> the top officer is to the center of university power and decision making, the more commitment the university has to the function.[52]

Without institutional involvement in policy decisions, the chief advancement officer lacks authority and his or her effectiveness is seriously diminished.

The chief advancement officer should report to the president of the institution. The advancement program--the overall program to advance the understanding and support of the institution--is an integral part of any college. The manager of the advancement program needs immediate access to the president of the institution.[53]

It is inescapably true that the president of a college is its principal fund raiser[54] and the chief institutional advancement officer for the institution.[55] Ideally, then, there should be a special functional relationship between the president and the institutional advancement officer.[56] It is important that there be a strong bond of mutual confidence and respect between these two people; otherwise the advancement process will be adversely affected.

As Gabrielsen comments: "The positioning of the director of development in the hierarchy of the institution is vitally important. He should report directly to the president.... He must occupy a policy role, meaning that he has a voice in major policies affecting the institution.[57]

Baker suggests that the best way to provide effective leadership and avoid diffusion of effort is to align all advancement functions under the jurisdiction of one administrative officer who reports to the president.[58]

Similarly, Leslie concludes, "It is literally impossible for a modern American small private college to achieve its potential without having as part of the top administrative team someone who is [highly] qualified to plan and oversee the execution of an effective fund-raising program; responsible to the president and the board but utilizing all the skill, ability and resources of a high quality development program."[59]

The chief advancement officer should have a position in the top executive officers' group. Authority and input to institutional policymaking decisions are prerequisites to a healthy advancement process. As Rowland suggests, the function of institutional advancement is as vital and as essential as any of the other major functions of the institution. Advancement assumes this kind of stature in the academic community because, in the long run, it makes possible the achievement of all other functions of the institution. Without a broad, effec-

tive program of institutional advancement, no college or university can gain the broad-based support from all its constituencies that will allow it to achieve its goals, whatever they may be.[60]

To achieve this authority, the chief advancement officer must function at the highest policy level. This chief officer should be a member of the president's executive group, have access to all institutional personnel and policies, and report directly to the president.[61] If the advancement officer does not function at this level, his or her effectiveness is vitiated.

Conferees at Greenbrier focused on the critical importance of the advancement function when they concluded that the advancement officer should "serve as a member of the president's immediate staff in policy making and planning."[62]

Ten years later Leslie endorsed this process: "If the institution is to derive maximum effectiveness from its advancement program, the manager must be a part of the president's chief executive staff together with managers of the academic, student and business activities."[63] Leslie noted that while over half of the private colleges had advancement managers, they were not typically involved in key decisions affecting the institution.[64]

In his study of state university advancement efforts, Baker concluded that the chief official for advancement should be one of the four principal officers (academic, student services, business, and advancement) on the president's executive staff. This chief officer should be involved in policy decisions relating to the institution's total program.[65] Most recently Jacobson emphasized the importance of the advancement officer's participation (rather than assistance) in policy making for the institution.[66]

Advancement Function Centralization and Organization

The advancement function is most effective when authority is centralized in a chief officer who reports to the president and serves on the president's cabinet. It then follows that all formal activities of institutional advancement (institutional relations, fund raising, alumni relations, government relations, and publications) should be coordinated for maximum effectiveness.

Institutional advancement functions should be translated into programs that are organized in a manner that fosters and assures coordination. An institution is not likely to carry out the overall process effectively if it is unclear where

the responsibility for coordination lies.[67] It is therefore essential that the various functions of the advancement process be centrally managed.

The institutional advancement function should be centrally managed. According to the report from the Greenbrier conference, the most important conclusion of this joint study of the internal organization of colleges was the need for centralization. At most American institutions of higher education there is a clear need for administrative coordination of the functions of public relations, alumni relations, and fund raising. And coordination usually implies supervision of these activities by a single executive office.[68] The report goes on to indicate that the consensus of the conferees favored a unified organizational approach with one officer reporting directly to the president and being responsible for the coordination and direction of the three activities. The report indicated that, while only a fifth of the institutions had such an organizational structure, the vast majority (86.4 percent) favored this arrangement.

In Focus on Understanding and Support, Leslie indicates that "it has been found that the centralized approach is the most effective way to provide the necessary leadership for the advancement program."[69] Evidence of numerous studies indicates a trend toward centralization. Other than the centralized management approach, no particular organizational pattern is in wide use.[70]

Leslie summarizes the following advantages of a centralized approach:

- centralizes accountability and responsibility under the president;
- encourages systematic planning, implementation and evaluation;
- expedites communication;
- provides more coordination and greater flexibility, thereby avoiding some of the causes of duplication and inefficiency.[71]

Centralization is a process that fosters efficiency and cooperation. Shea warns, however, that "coordination and cooperation do not come naturally. They must be developed and nurtured by leadership."[72] It is the coordinating manager, who, with his or her staff, has the responsibility of seeing that the components of the advancement program are administered effectively.

The centralization process alone, however (as with any of the framework components), is not directly related to productivity. Pickett found that there was no significant

difference in productivity between centralized and noncentralized advancement programs.[73] This does negate the importance of centralization as a significant process step in developing a productive advancement program. An effective advancement program, however, depends on a comprehensive program effort and on continuity of performance in each area.[74]

One of the important factors of advancement is the age of the program. It takes time to nurture and gain support. According to the Greenbrier report:

> Essentially, generous financial support flows from an atmosphere of interest, good will, confidence in the institution, and an honest sense of obligation. These are not qualities which can be turned on and off; they represent long-time building. If they are lacking, no amount of professional ingenuity can produce results.[75]

More recently, Jacobson said: "One important factor in the building of a successful institutional advancement program is its age. Deep loyalty and support are not developed overnight. A myth that repeatedly surfaces in the development area is the 'get rich quick' myth, the idea that an institution hires a hot-shot 'money magnet' and doubles in a month or two."[76] How long an institution has had the centralized approach provides a measure of the advancement process.

The organizational model should foster centralization. An organizational chart is properly an accurate visual portrayal of the procedures deemed necessary to obtain desired objectives. It delineates lines of authority and responsibility that are a necessary concern of the advancement process. For instance, one way to assess whether an administrator has policy input is to find his or her position on the institution's organizational chart.[77] The organizational chart serves both executive and staff in showing authority, functions, and lines of communication.

One of the tasks of the chief advancement officer is to determine how the function will be organized. Organization is important because it relates to efficiency, assignment of responsibilities, staff and budget considerations, reporting lines, and goal accomplishment. The trend in advancement organizations is toward centralization in which all advancement functions are grouped under a single director or vice president.[78]

While there is no "best" organization pattern, certain practices foster efficiency and productivity. There are two basic organizational models: (1) centralization of the functions under a director or vice president who reports to the

president, (2) semi-centralization in which two or three functional directors report to the president. The first option has become the most popular and is the recommended approach for most institutions.[79]

In the structure found most often by the Leslie study, a director or vice president managed an advancement program consisting of alumni relations, fund raising, and public relations (including information services). In the second structure, the three main advancement functions reported to the managing officer.[80]

While people are always more important than charts, when unclear organizational procedures produce inefficiency and ineffectiveness, the study of an organizational chart can help pinpoint the problems.[81] For the small college, a centralized approach with a coordinating manager provides a greater option for a successful advancement process than other organizational arrangements.

Personnel Resources

The process of institutional advancement cannot be implemented correctly without proper personnel resources. These personnel include the president of the institution, the advancement staff, and trustees and other volunteers. As Seymour points out, in an area as important and as critical as educational fund raising, cheap help is the most expensive help.[82] The best investment that can be made, at almost any price, is an investment in top staff--people with ability, stability, loyalty, integrity, and common sense.

It is just as important for an institution to have competent and active personnel to advance the institution as it is to have an administration qualified to manage the institution. This section assesses personnel resources in two areas: professional staff (advancement staff and president) and volunteers (trustees and others).

Professional Staff

An advancement officer's ability to operate effectively is affected by many factors--experience, education, title, age, personality, and knowledge of an institution. The paid professional staff, particularly the president and chief advancement officer, are the ones that will make a program go or not. As Rowland notes, "The success of the institutional advancement program in colleges and universities rests largely on the effectiveness of the management it receives . . .unless there is capable top-level management, the program cannot be successful.[83]

One of the conclusions of the 1958 Greenbrier conference was that there was a "need for an upgrading of the qualification of the personnel performing administrative duties in these areas of institutional advancement."[84]

The advancement manager should be experienced in advancement, knowledgeable of an institution, educated with preferably the doctorate, and assigned a title carrying authority. At the Greenbrier conference it was concluded that advancement officers must:

1. Possess professional techniques that can give the service needed.

2. Acquire deep understanding of the educational process.

3. Know perfectly the special problems in their institutions.

4. Be willing to be admitted to membership in the educational family on the basis of merit, not by reason of title or by executive legislation.[85]

The Greenbrier conference went on to report that the person who has a commitment to education and to the institution, a thorough knowledge of the institution, and a grasp of the techniques of the profession has what in the long run is the most desirable characteristic of all--competence.[86]

Leslie notes that "the manager of the institutional advancement program must be qualified in terms of experience and performance, otherwise the responsibilities and demands are unfair to him and the institution."[87] "The ideal director of development, "according to Gabrielsen," should have a considerable background of training and experience in the field of educational fund raising."[88] The literature suggests repeatedly that the only way to learn educational fund raising is through on-the-job training. This has begun to change in recent years as the literature of institutional advancement increases but it is still true that experience is vital to competent personnel.

A second quality needed for advancement personnel is a comprehensive knowledge of the institution.[89] The role of the advancement office is to interpret the institution to all its publics. Such an interpretation cannot be very accurate without a thorough knowledge of the institution and a first-hand knowledge of its constituents. This usually requires several years at an institution.

Ideally, the director or vice president should have demonstrated good scholarship and held responsible educational positions.[90] As Rowland states in the Handbook of Institutional Advancement, "The institutional advancement officer must be concerned about his or her own academic qualifications first and about his or her professional institutional advancement skills second."[91]

According to Gould, "An advancement officer who hopes for acceptance in the academic community must have some qualifications as an educator or scholar."[92] More than any other people at the institution, managers must keep themselves current in the literature of the field and on events affecting institutions of higher education.

It is necessary not only that the advancement officer think of himself or herself as an educator, but that the executives above see him or her as something more than a technician with a narrow assignment.[93] Managers must merit their position through experience, performance, and imagination. They must be educators first--deans, business managers, and fund raisers second.[94]

Noel Johnston sums it up when he concludes: "It seems obvious that the new development man will be better educated. The doctorate will be commonplace. He will be a visionary, a dreamer in the best sense of the word."[95]

Titles are an area of continuing flux. Twenty years ago the Greenbrier conference agreed that finding an appropriate title that could come into general usage to describe this function would itself be a contribution: "The problem of selecting a title is not a small one. One of the problems in bringing about a change in administrative structure is selling the concept to the members of the faculty and other administrators, and the overtones of a new title can be very meaningful."[96]

John Leslie explains the diversity of titles found in his study this way: "Titles tend to be meaningless in determining level of authority of the manager of the advancement program at different institutions. Although vice president is the most common title, there are directors, deans and assistants to the president who act as chief directing and coordinating officer for the advancement program. Of 64 advancement program managers in the 105 institutions in the study sample, 30 were Vice Presidents."[97]

The president should be an active fund raiser and promoter of advancement activities making more than 10 percent of the $100-plus calls and averaging more than eight calls per month. As indicated previously, the president should assume an active

role in the advancement effort and a special relationship should exist between the president and the coordinating manager of the advancement program.[98] Presidents have a particular opportunity and responsibility in regard to securing major gifts, the kinds of gifts that may well spell the difference between survival and death for the small, independent college. The Greenbrier conference was candid in reporting that successful fund raising requires manpower. The president of the institution as the chief fund raiser must be prepared to use his or her presence and influence.[99] Without a president who can raise funds, an advancement office is seriously crippled.

John Leslie found that among private colleges there was a correlation between the number of solicitation calls made by the president and the amount of gifts received.[100] Drawing from his personal experience, Leslie concluded that an "active" fund-raising president is one who personally solicits 10 percent or more of the $100-plus donors. Table 5 shows the results of this study.

TABLE 5

PERCENT OF PRESIDENTS "ACTIVE" IN FUND RAISING[101]

Gift Income Range ($) (thousands)	Percent Active
1,500 to 5,000	34
1,000 to 1,500	43
600 to 1,000	27
150 to 600	81

It is increasingly accepted that in selecting presidents, most colleges place high on the list of qualifications for the job the capability to raise funds from the private sector. Studies have shown that presidents of successful institutions spend at least 20 percent of their time on fund raising, make an average of at least 10 calls per month

to ask for money, and inevitably spend the balance of their time worrying about the problem of resources.[102]

Wallace B. Graves, in addressing a Gonser Gerber Tinker Stuhr workshop, outlined four functions the president should assume in advancing the institution: "The president must personify the character and the goals of the institution he leads, he must communicate these goals to the college's constituent bodies, he must create a strong development staff, and he must be primarily responsible for fund raising."[103]

The advancement director has to rely on the president for the status and position that will enable him or her to be a key administrator. There is no way that a president of a college can sidestep leadership in fund raising. In the area of making solicitation calls, in cultivation of major gift prospects, in contact with foundations, the leadership of the president is particularly important. And this leadership is vital in the stimulation of volunteers to assist with these endeavors.[104]

Without the involvement of the president, an advancement effort is operating without its right arm. The president must be willing to cultivate major prospects, to make foundation and corporation calls, to give time to recruit top volunteer leadership, to insist and encourage continuity in development, and to use studied patience in cultivating top prospects.[105]

Volunteers

Volunteers, including trustees, can make a significant addition to advancement personnel resources. As Jacobson points out, "A successful program requires diverse participants and dedicated volunteers."[106] Personnel actively involved in the advancement program usually include both in-house staff and an outside corps of volunteers.

In the past, as Gabrielsen suggests, a college fund-raising program was continuously engaged in identifying a large number of prospects who would then be approached by a large number of volunteers.[107] However, as Leslie points out in a recent study, "Direct staff solicitations have become fairly commonplace and the use of volunteers may not be consistent with theory and textbook approaches of a few years ago. Without question, professional staff persons are calling on a wide variety of donors, and calling by themselves."[108]

More and more private college fund raisers have come to realize that the do-it-yourself fund raiser is too expensive an anachronism. In this sophisticated, highly competitive

area of management, professional know-how spells the difference between success and failure, between adequate dollars for support and a half-hearted response.[109]

According to the CASC fund-raising module, "Volunteers raise a very small percentage of funds for small colleges. Large gifts almost always result from the work of the president or the chief fund raiser."[110]

Despite this trend, trustees and a select group of other volunteers should be soliciting for the college and involved in committees that help enhance the advancement efforts and assist the institution. For there is no way around the fact that personal involvement is a significant part of donor motivation, and advancement officers must never forget that the key to understanding on the part of our publics is involvement.[111]

Trustees and other volunteers should be involved in advancement activities. To accomplish a full-fledged advancement program, trustees and other volunteers should be used to raise funds. As the Greenbrier report indicates, "In the private institution, the board must be a central agency in fund raising, and its members must be available for assistance."[112] No single thing is more important in the success of advancement efforts than to have trustees lead in deed and act as well as words. It has been said that trustees need to either give, get, or get out. As Gabrielsen notes: "The board of trustees has a significant contribution to make to the institutional advancement program--not least its fund raising operations."[113]

The general rule of thumb is that personal calls should be between peers, with the solicitor possibly slightly higher in status than the person solicited. The only option, generally, is for trustees or other volunteers to assume these tasks. In John Leslie's study, which included 112 private colleges, one in five institutions reported that 50 percent or more of its trustees participated in fund-raising solicitations.[114]

Butler outlines six functions of the trustees and other volunteers in raising funds: (1) trustees should be a constant source of information on new prospects; (2) trustees should evaluate and note prospects; (3) trustees should provide advice on how best to approach a prospect; (4) trustees should conduct cultivation programs; (5) trustees should solicit funds and know how to "close the deal"; and (6) trustees should be helpful in following up their own solicitations and those of others.[115]

The college should have an active, working trustee committee and a public relations advisory group comprised of people outside the institution. If the purpose of institutional advancement is to gain understanding and support from constituent groups, then a process is necessary that allows for input and management sensitivity to constituency needs and concerns. The two most common means of achieving this process are (1) to have a trustee advancement committee and (2) to have a public relations advisory committee comprised of people outside the institution.

Arthur Frantzreb points out that "trustees must not only be willing to contribute to the college but be willing to be active in using their influence and contacts to acquire gift income from others." Frantzreb goes on to say, "In an effectively organized board, this activity will take place within the committee structure of the board. An active trustee committee on development supported by the chief advancement officer is a key fund raising policy."[116] A similarly important role is found for the public relations advisory group as it relates to all advancement concerns.

Pickett found "significantly more overproductive colleges had active trustee development committees compared with underproductive colleges. It was concluded that there was a positive relationship between active trustee committees for development and the productivity of the fund raising program."[117]

Gabrielsen suggests that "at the center of the development program should be a council or committee composed of representatives of all the central constituents of the institution."[118] This group usually becomes the public relations sounding board for the entire institution. This sounding board and the trustee committee become an integral part of an effective advancement effort.

Advancement Activities and Functions

Activities are functions that are carried out by programs.[119] These activities express quantitatively the types and levels of the institutional advancement process being conducted by small colleges. These activities and functions, then, indicate the advancement process taking place at the small, independent college and provide a means by which it can be assessed. The successful institutional advancement program should manifest itself in a carefully formulated program, not in random actions.[120]

Robert L. Stuhr, in an address to the annual staff meeting of the National Benevolent Association, suggested the need

for aggressive development efforts as an integral part of the independent college's future: "We believe that the future of non-tax-supported colleges and universities remain bright for those institutions which have well-defined aims, quality programs, able management, aggressive development efforts, and leadership from the trustees and other volunteers."[121]

The development of an aggressive advancement effort implies a full-fledged advancement process. A. Westley Rowland suggests a priority should be to "develop a comprehensive program of institutional advancement activities consistent with both the institutional and the institutional advancement goals."[122] Which program elements should be developed first depends on the existing program, the short- and long-range needs of the college, and the budget available.

The responsibility for developing this comprehensive advancement program rests with the manager or coordinator of institutional advancement. The program should meet both institution-wide and advancement objectives. Fund raising is the most critical element of the advancement program, particularly in the small independent college.

The bottom line for the advancement office in the small independent college is the amount of financial support raised. The majority of small colleges, usually unendowed, need to raise 10 to 40 percent of the institution's budget in unrestricted money for the books to balance each year. Most institutional budgets are very lean and if these funds do not come in, the consequences can be serious. This is why we say that the small, independent college operates on the basis of a "fragile stability." To raise the necessary funds, it is important to have a process that provides opportunities for giving and efforts that assure the results needed.

Fund-raising programs should include efforts to raise annual unrestricted support, capital funds, and deferred gifts. The fund-raising process should utilize many different kinds of planned programs to solicit funds--different methods of giving, kinds of gifts, and gift opportunities. Usually there are three kinds of solicitation programs: annual, capital, and deferred gifts.[123]

The July 1972 Bulletin published by Gonser Gerber Tinker Stuhr is devoted to the importance of having fund-raising programs that address all three financial needs. They underscore "the importance of the total development approach to donors--through the combined, simultaneous operation of the annual fund, a continuous solicitation for major capital gifts, and an estate planning program."[124] Many small colleges are preoccupied with raising annual unrestricted support, but this can be a trap unless they also implement active capital and deferred gifts programs.

As Pickett discovered in his study of undergraduate institutions, a college that is not actively seeking capital funds puts itself at a competitive disadvantage and tends to raise less money than it might because capital campaigns by their nature seek larger amounts of money and tend to focus a fund-raising program on the bigger prospects and larger gifts.[125]

A 1977 edition of On Development by Gonser Gerber Tinker Stuhr asks: "Are your publics aware of your program for capital growth? Has your college made clear its capital needs?"[126]

Similarly, no small college can afford to be without an active, sustained estate planning effort. Generally, about 15 percent of the total voluntary support for higher education comes from wills, bequests, and other forms of estate planning. In hard times, colleges with established estate planning programs have a measure of financial stability.[127]

The Pickett study shows that more overproductive than underproductive colleges had formalized deferred gifts programs.[128] Within reason, the deferred gift portfolio should include every reasonable alternative by which the prospective donor can provide for an investment that is compatible with his or her circumstances and effectively fulfills his or her objectives.[129]

The leanness of small college budgets makes it difficult for them to invest money to make money. However, as inflation continues to increase, deferred gifts will become increasingly attractive. Inflation often decreases cash flow and thus the size of current gifts but increases estates to sizable gift proportions. In a recent study reported by Arthur Frantzreb, the average time from the writing of a deferred gift to its receipt is 3.7 years.[130] If this continues to be true, it means that deferred gifts are not something that happens in the distant future but something of more immediate value which should be actively pursued.

Solicitations should be made by the trustees, president, staff, and volunteers; gift acknowledgments should be made within one to three days; and the mailing list should be as large as possible.[131] To raise money you have to ask for it. To keep a donor's good will and continued interest you should acknowledge a gift promptly. And to find new donors, names should be continually added to the prospect mailing list. These three process concerns are important to the success of the fund-raising efforts of the small independent college.

Selling by personal face-to-face contact is the most effective method known,[132] and it is usually most effective when

peers solicit peers. For this reason, trustees and presidents need to play a significant role. Probably one of the greatest "sins" in the fund-raising business is to stay home. However, for the small college fund raiser, often inexperienced and apologetic about the institution, finding reasons to stay in the office is probably the easiest route.

From his studies, Leslie concludes that "there seemed to be some correlation between the number of solicitation calls made by the president and amount of gifts."[133] While there is no general agreement on who is the best solicitor (president, trustee, staff, etc.), there is general agreement that the more a college asks for support, the more support it will receive.

Pickett found that the overproductive colleges make more solicitation calls than do underproductive colleges.[134] However, quantity of calls cannot be correlated with success. The calls need to be quality calls--on good prospects who have been researched. On the other hand, if you don't make any calls at all, you have not even begun the process that can lead to success.

Once a gift is received, it should be promptly receipted and acknowledged. The speed and kind of acknowledgment depend on who the donor is and the size of the gift. A large gift should get an immediate phone call but all acknowledgments should be made within three days. In fact, Gabrielsen believes that "it should be an inviolate rule that all gifts are acknowledged by the day following their receipt."[135] The use of a computer for this task often pays for itself in increased effectiveness, accuracy, and flexibility. With or without the computer, prompt acknowledgment is essential.

The advancement office mailing list provides the backbone for solicitation efforts. And the larger the list, the greater the opportunities for fund-raising success. Pickett postulated that overproductive colleges had significantly larger mailing lists than did the underproductive colleges but he concluded that mailing list size was not a useful way to characterize productivity. It is, however, a good indication of the process of prospect acquisition taking place.

Full-Fledged Advancement Program

Traditionally, an effective and complete institutional advancement program includes six functional areas: executive management, fund raising, alumni affairs, government relations, publications, and institutional relations. Preceding sections of this framework have dealt with the first two areas, executive management and fund raising. This section is con-

cerned with the other four functional areas that provide necessary support and complementing activities to the entire advancement effort.

At least two to four voluntary government relations activities should be conducted each year. The small, independent college, which often prides itself on being private and non-government related, usually does not want to think about government relations. At best it is a love-hate relationship. As Dr. Francis Michelini points out, "They [the government] are part of our institutions, like it or not."[136]

Leslie recommends that a federal relations program "be designed to recognize and help influence political considerations present in all aspects of federal government operations, be they allocation of grant funds or passage of legislation." He goes on to note that "the importance of Washington extends beyond research grants."[137] It is essential that the institution be aware of legislative and executive actions, on the local and state level and in Washington.

Many small schools rely on state and national independent college associations to be "the watchdog." And this can be a wise use of resources. But activities to foster a relationship with government are still important. A college needs to know key officials, and the key officials need to know the college. Government officials should be treated with respect.[138] They should be invited to attend important campus events, to give greetings from government, to lecture in the classroom, to have lunch with the president. In this way, the institution will "develop an effective liaison with government."[139]

Small colleges should have regional alumni chapters, fund the alumni organization, and have a special alumni program for recent graduates. According to the Voluntary Support of Education 1977-78 report, individuals as a group contribute more to education than any other single donor group.[140] Included in this designation are alumni of institutions that give almost half of this support. The volunteer support accounts for 44 to 49 percent of the total.[141] Private colleges, as a whole, receive 17 to 20 percent of their gifts from alumni.[142] Generally, as the college gets smaller, alumni support accounts for a greater percentage of the annual gifts.

Three conditions provide a process that encourages alumni support of a small college. The alumni organization generally needs a rudimentary budget from the institution; regional alumni activities take the institution to where the alumni live; and a program for young graduates helps meet the special cultivation needs of recent graduates.

The Greenbrier conference report concludes that a budget is necessary for successful alumni activities.[143] Particularly among small colleges, an alumni association seldom exists without the support of the advancement office. Leslie notes that "the alumni association which is truly independent--legally and financially--is a rarity." Part of the successful alumni cultivation process, then, is institutional funding for the alumni organization. Recent graduates of five years or fewer have special cultivation needs. They are like newlyweds. They need to be taught the rights and responsibilities of a college alumnus. Ideally, this process starts while they are still students, often during the senior year. Once the alumnus leaves campus, it is important that the institution be represented in his or her region. Active regional chapters are an excellent process by which alumni are kept informed and interested in the concerns and affairs of their institution.

Between 1.4 and 2.0 professional staff full-time equivalents should be allocated to institutional relations. Gabrielsen points out that effective public relations must precede and support the whole advancement effort because it cultivates the understanding that is the fundamental basis for support and growth.[144]

Without sufficient professional staff in the institutional relations area, professional fund-raising staff members will be crippled unless they assume many of these responsibilities themselves. Two main areas of concern are in media relations--writing news releases, and producing publications. Other activities include sports information, photography, special events, advertising, and other related activities. It is obvious that most professionals must be proficient at many different functions. Without enough staff, none of the functions will get done correctly.

The publication program should include a centralized publication policy and the mailing of a principal publication at least quarterly. A publication program is a vital part of institutional advancement.[145] It is basic to any advancement effort. The process should include a major publication that is mailed at least quarterly and a centralized publication process that allows the advancement office to control the volume and quality of publications. Such a publication effort allows the advancement office to communicate effectively with the college's different constituencies.

The CASC PDS fund-raising module calls communication with various constituencies "essential elements in a total resource development program."[146] Gonser Gerber Tinker Stuhr have stressed the importance of communication with donors. "Continuous, close communication with donors is imperative

in these new times for colleges and universities--times in which the traditional priority of higher education is being questioned and in which apprehension and pessimism over the economy nag the philanthropic impulses of many donors."[147] This same thing can also be said of potential donors.

While personal communication is a valuable and irreplaceable medium for providing information to a donor or prospective donor, there are so many donors that a program of printed information is necessary. This program should be of acceptable quality, and the message should be consistent with the public relations goals of the institution. These goals should include continuous, regular programs of interpreting the institution's goals rather than quick responses to campus pressures.

If the advancement process recommended in the criteria above is being followed, then the process that is in motion should be producing successful outcomes. The next sections deal with the fine tuning of this process of institutional advancement.

Evaluation: An Integral Part of Advancement

All advancement programs are subject to periodic evaluations. The coordinating manager can choose to evaluate or he can allow evaluation to take place by default. As Leslie says, "Good management is not something which is installed in a one-time operation and then lives on forever. Continuing good management results from frequent review of practices, evaluation of performance, and improvement in techniques."[148]

Institutional advancement managers often say that they are so busy in the trenches they have no time for the important. "We just do the best we can under the circumstances, duck quickly, and try to be philosophical about it" is a typical comment. But the careful manager practices evaluation as an important part of the advancement process.

According to Jacobson, "The manager who wants to be a policy maker rather than a bureaucratic technician must provide for a continuous flow of relevant information on which to base decisions."[149] And Leslie also warns that "The institution's chief executive officers need to recognize that evaluation is an important management tool and without it planning and implementation will be less effective.[150]

D.E. Gardner has identified five basic evaluation frameworks that can be used separately or collectively: "(1) evaluation as professional judgment, (2) evaluation as measurement,

(3) evaluation as the assessment of congruence between performance and objectives (or standards of performance), (4) decision-oriented evaluation, and (5) goal/free/responsive evaluation."[151]

The method chosen is not as critical as the fact that the evaluation take place. An evaluation should include a comparison of the program priorities with the public relations goals and an assessment of whether market analysis is done of communications and fund raising. Through the process of evaluation the institutional advancement program can be refined and adjusted to assure effectiveness.

Institutional Goals and Advancement Practice

One type of internal evaluation is an assessment of the advancement program as measured against the stated public relations goals. Is there consistency (1) between the public relations goals and the needs of the institution, and (2) between the public relations goals and the institutional advancement program. Leslie notes that "an advancement program must ultimately be evaluated with respect to achievement of the institution's educational objectives."[152] These objectives are often reflected in the public relations goals.

Advancement managers need to base as many decisions as possible on objective information. In Evaluating Advancement Programs, Jacobson suggests that the more sophisticated managers are about the advancement process and the findings of evaluation, the greater their ability to provide effective programs.

Advancement programs should contribute to the major public relations goals of attracting prospective students, raising funds, and building and holding good will for the institution. For the small, independent college, survival usually depends on attracting prospective students and raising sufficient unrestricted support. Without these two ingredients there is no future. If the process of institutional advancement, then, is interpreting the needs of the institution, the public relations goals should reflect the need to attract students, raise funds, and hold good will for the institution. These goals should be stated by the institution, and the advancement process should contribute to the realization of these goals. It is important that these public relations goals are an integral part of the management and direction of the institution. In turn, these public relations goals become the responsibility of everyone connected with the institution.

When Rowland studied 272 members of the American College Public Relations Association in 1954-55, he found building

and holding good will was the highest rated objective. This confirmed studies previously completed by Ryan, Fine, Hawk, and Heath. Student recruitment and raising funds ranked third and fourth as educational public relations objectives. The second highest rated objective was to keep the college's publics informed as to aims, progress, and needs. Among the private colleges in the sample, attracting students was the second highest priority and keeping the public informed was third.[153]

C.J. Young's 1968 dissertation study of the campuses in the State University of New York system concluded that the most desirable public relation objectives were: (1) to keep the colleges' publics informed as to the aims, progress, news, and new trends and (2) to attract the best qualified faculty, staff, and students. Young found that the least important public relations objectives were raising funds and educating the publics about the problems of higher education in general.[154]

Evaluation Tools

Rowland points out that "Evaluation is essential to effective institutional advancement. Continuing feedback and information from all of an institution's constituencies are the raw materials for change, correction, and redirection."[155] The advancement process must include evaluation tools that enable the evaluator to listen to what various constituencies are saying.

Thad L. Hungate in Management in Higher Education defines evaluation as

> the process of securing value judgments essential to the improvement of the services of the institution. These judgments may be based on objective evidence, on experience, on subjective judgment, or on any combination of the three. Such judgments seek to assess the suitability or desirability of an activity or resource in relation both to institutional purpose and to cost. There can be no rational improvement in institutional services without the exercise of value judgments concerning all aspects of operations. Indeed every act of management reflects such judgment. The concern is to provide more adequate bases for them and hence increase their reliability.[156]

Although Leslie points out that it is difficult to offer criteria for evaluation that will be equally appropriate for all institutions of higher learning,[157] evaluation can and should be done.

Jacobson summarizes how evaluation can help the advancement manager:

- to gain a deeper insight into the ways in which several components of an institutional advancement system are interdependent.
- to come to some conclusions about preferred standards, reducing the chances of surprise and acquiescence when faced with standards suggested on or imposed by outside forces.
- To demonstrate stewardship, that is, the use of resources for the purposes intended.
- To eliminate unnecessary assembly of data by clarifying and refining record-collecting procedures and policies.
- To help personnel within an operation to better understand their roles in relation to the total operation's mission.
- To help personnel outside of the operation understand the functions of institutional advancement.
- To reduce uncertainty by providing greater organizational stability through a planned program that incorporates change and improvement in a systematic manner.
- to decrease reliance on crisis management by providing information on which managers can base long-range operational plans.
- to contribute to the enrichment of the profession by exchange of data, analysis, and conclusions.[158]

The manager who recognizes the place and importance of evaluation as an integral part of the institutional advancement process will use evaluative input in such areas as donor profiles, communication programs, and a readership poll of the mailing list constituencies. If these evaluation tools are employed, they can help provide the necessary data to change and refine the program.

The advancement process should include a readership survey of publication recipients and market analysis of the donor constituency and the communication program. With the primary public relations goals of attracting students, raising funds, and building and holding the good will of the public, it is essential that advancement managers know who their constituencies are and what they think. Three areas of analysis are most useful to the manager: a readership survey, an evaluation of who the donors are and why they give, and an evaluation of the effectiveness of the communication program among various constituencies.

Goldhaber notes that communication is the most central process to any organization. Without the knowledge of how an institution's communication process operates and how well it

operates, an administrator runs the risk of being controlled by the information processing system rather than controlling it. Goldhaber warns, "organizations that are unable or unwilling to effectively create and exchange messages within their systems and between their institutions and their environment will ultimately die."[159]

To satisfy an audience or constituency group, the advancement officer needs to know who is in that audience and what they want. In the Handbook of Institutional Advancement, Brossman asks, "Is some form of public opinion survey undertaken, on a regular basis, to determine how the institution is perceived by outsiders, how successful its publications are, and whether the basic facts of the institution's funding are clear?"[160]

Jacobson suggests that advancement managers must conduct evaluative studies to answer four questions: "(1) Did the program reach the people that it set out to reach? (2) Did the program get its message across? (3) Did the program cause users to act? (4) Did the program change the relationship between the institution and the user(s)?"[161] And the advancement manager should measure not only the public's definition of an issue but also the public's perception of the institution's definition of an issue. A small college needs to know what the public thinks the college thinks.[162]

As evaluation comes into wider use, there will be a growing reliance on statistical data for policy decision input. Evidence of past trends and the factors underlying the trends will be needed. Essential evaluation tools give the manager a data bank for practical operational control.

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CHAPTER 3: THE DATA

The responses to the research questionnaires show us "what is" i.e., the process of institutional advancement at small, independent colleges. The information is organized in sections corresponding to those in the questionnaire: (1) institutional identification, (2) general management, (3) fund raising, (4) institutional relations, (5) publications, (6) alumni programs, (7) government relations, and (8) general organizational charts.

Of the 191 CASC member institutions who received the questionnaire, 141 or 73.8 percent responded by completing the question or applicable portions of it or by letter. The responding institutions are listed in Appendix B. Four responses were discarded--two had incomplete information, and two were received after the deadline. Thus, 137 institutions, or 71.7 percent of the population were included in the results. (Not all institutions answered all questions so the population or N varies on some items.)

The data available from the questionnaires reflected how respondents perceived their institution. Thirty-four percent of the respondents were presidents; 30 percent directors of development, college relations, or institutional advancement; 26 percent vice presidents for development or a similar title; and the remaining 10 percent were executive vice presidents, institutional researchers, deans, or other administrative personnel.

Institutional Identification

An institution's student enrollment and budget size are critical in planning administrative strategy. Tables 6 and 7 give a statistical explanation of enrollments and budgets of the population.

The mean for institutional educational and general (E&G) expenditures for the entire population of the 126 responding institutions is $3,081,759, with a range from $110,085 to $7,300,000. Half the colleges are represented in the mean budget range from $2,352,783 to $3,018,535 (Table 6).

Seventy percent of the 137 responding institutions have a student enrollment of 1,000 or fewer FTE students (Table 7), 21.2 percent have 500 or fewer students, and 7.3 percent have more than 1,501 FTE students (Table 7).

TABLE 6

TOTAL INSTITUTIONAL E&G EXPENDITURES
(INCLUDING STUDENT AID) BY ENROLLMENT SIZE

Enrollment	N	Mean
Up - 500	25	$1,563,584
501 - 750	32	2,352,783
751 - 1,000	31	3,018,535
1,001 - 1,250	18	4,152,677
1,251 - 1,500	10	4,963,544
Over 1,501	10	5,596,475

TABLE 7

NUMBER OF FTE STUDENTS (FALL 1978)

Enrollment	N	Relative Frequency (Percent)	Cumulative Frequency (Percent)
Up - 500	29	21.2	21.2
501 - 750	35	25.5	46.7
751 - 1,000	33	24.1	70.8
1,001 - 1,250	19	12.9	84.7
1,251 - 1,500	11	8.0	92.7
Over 1,501	10	7.3	100.0

General Management

Tables 8 and 9 show the functions included in the institutional advancement programs of the study group, both for the entire population and broken down by size of college. As expected, fund raising (100 percent), alumni affairs (96 percent), and public relations (96 percent) are integral parts of nearly all the institutional advancement office efforts. Additionally, 91 percent of the colleges include publications in these efforts.

Seldom does the small college advancement office have the luxury of one person in charge of each advancement function. Rather, everyone wears several hats. Clear lines of functions at the small school, therefore, are not easily distinguished. Public relations includes publications, and everything the advancement office does is in some way related to enrolling students and raising funds.

There are differences even within this group of colleges with enrollments under 2,000. Colleges with 1,250 students are able to afford a more complete advancement office than those with 625. For example almost twice as many of the larger schools have photographic services and programs for parents as do the smaller colleges.

TABLE 8

INSTITUTIONAL ADVANCEMENT FUNCTIONS (PERCENT) BY ENROLLMENT SIZE

Function	0-500 N=29	501-750 N=35	751-1,000 N=33	1,001-1,250 N=19	1,251-1,500 N=11	1,501 and over N=10
Fund Raising	100	100	100	100	100	100
Admissions	55	51	55	42	45	30
Alumni Affairs	96	97	97	100	91	90
Government Relations	49	60	57	47	64	50
Photographic Services	48	60	51	42	81	80
Physical Plant Planning	21	26	24	37	64	30
Church Relations	55	57	55	63	82	40
Parents Program	58	71	79	53	91	80
Placement	27	23	30	32	45	20
Public Relations/ Publicity	90	97	100	95	91	100
Publications	86	91	91	89	100	100
Conferences	24	40	36	26	45	40
Special Events	58	74	55	74	82	70
Others	10	11	21	11	27	20

TABLE 9

INSTITUTIONAL ADVANCEMENT FUNCTIONS PRIORITIZED FOR ENTIRE POPULATION

Function	N	Percent
Fund Raising	137	100
Alumni Affairs	132	96
Public Relations/Publicity	131	96
Publications	125	91
Parent Programs	96	70
Special Events	91	66
Church Relations	79	58
Photographic Services	77	56
Admissions	68	50
Government Relations	63	46
Conferences	47	34
Physical Plant Planning	40	30
Others (Mostly Deferred Giving)	21	15
Placement	39	9

Fifteen percent of the responding colleges wrote something under the category "other." These areas included: speakers bureau, institutional advertising, long-range planning, campus tours, duplication and mail room services, financial aid, community education, estate planning services, management of the campus radio station, and capital campaigns.

The annual institutional expenditures for institutional advancement functions, including salaries and benefits, ranged from $17,400 to $681,404; the mean was $213,509. Table 10 is a breakdown by institutional size for the 133 responding institutions.

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TABLE 10

INSTITUTIONAL ADVANCEMENT EXPENDITURES BY ENROLLMENT SIZE

Enrollment	N	Mean
Up - 500	29	$134,469
501 - 750	34	168,504
751 - 1,000	32	219,230
1,001 - 1,250	19	229,816
1,251 - 1,500	9	291,910
Over 1,500	10	275,949

Sixty-five percent of the population indicated the institutional advancement functions were centrally managed by one officer. Table 11 provides a breakdown by college enrollment size.

As Table 12 demonstrates, these centrally managed institutional advancement offices have existed for an average of 11 years--ranging from under 1 year to 44. Seventy percent are 13 years old or less.

TABLE 11

CENTRALLY MANAGED INSTITUTIONAL ADVANCEMENT FUNCTIONS BY ENROLLMENT SIZE

Enrollment	N	Percent Yes	Percent No
Up - 500	29	59	41
501 - 750	35	71	29
751 - 1,000	33	58	42
1,001 - 1,250	19	84	16
1,251 - 1,500	11	36	64
Over 1,500	10	70	30

TABLE 12

YEARS INSTITUTIONAL ADVANCEMENT OFFICE HAS EXISTED

Years	Percent	Cumulative Percent
0 - 2	15	15
3 - 5	16	31
6 - 10	27	58
11 - 15	20	78
16 - 20	11	89
21 - 30	10	99
44	1	100

Ninety-three percent of the chief advancement administrators report to the president (Table 13), and 97.6 percent of these administrators have a position in the top executive officers group.

TABLE 13

IMMEDIATE SUPERIOR FOR INSTITUTIONAL ADVANCEMENT OFFICER

Officer	N	Percent
President	115	93
Executive Vice President	2	2
Board of Trustees	1	1
Other (Academic Dean, Chancellor, etc.)	5	4

The chief advancement officer assumes a variety of titles. As Table 14 indicates, 52 percent assume the traditional title of director or vice president for development. Fewer than 5 percent are called director or vice president for institutional advancement. In 15 percent of the cases, the title was unrelated to a traditional title for an advancement officer: president, assistant to the president, business manager, etc.

As expected, the mean time with institution, time in present position, and experience in the field of institutional advancement are greater for the coordinating manager than for the public relations, publications, fund raising, and alumni officers. The coordinating manager has been with the reporting institution a mean of 5.2 years--ranging from under 1 year to 32 years (Table 15). They have held their current positions for a mean of 5.02 years--ranging from under 1 to 23 years. Sixty-six percent have been in their positions 5 years or less. The mean years of experience is 11.2 with a range of under 1 to 31 years.

TABLE 14

TITLES OF COORDINATING MANAGER

Title	Percent
Director of Development	31
Vice President for Development	21
Vice President (or Executive)	16
President	7
Director of College Relations	10
Vice President for College or Institutional Advancement	4
Vice President for: Finance, External, or Public Affairs	3
Assistant to the President	2
Other: Business Manager, etc.	6

TABLE 15

EXPERIENCE OF COORDINATING MANAGERS

Years	With Institution (Percent)	In Position (Percent)	Experience in Field (Percent)
0 - 2	24	38	12
3 - 5	20	28	15
6 - 10	30	21	28
11 - 15	16	11	20
16 - 20	5	1	12
21 - 30	5	1	12
31+	0	0	1

TABLE 16

AGE OF COORDINATING MANAGER

Age	Percent
25 - 30	5
31 - 35	12
36 - 40	14
41 - 45	21
46 - 50	13
51 - 55	13
56 - 60	12
61 - 70	10

The average age of the coordinating manager is 46 years, and the range is from 25 to 70 (Table 16).

TABLE 17

EDUCATIONAL DEGREE OF COORDINATING MANAGER

Degrees	Percent
Associate	4
Bachelor's	28
Master's	42
Certificate	3
Doctorate	23

A larger percentage of the coordinating managers have attained advanced academic degrees--23 percent have the doctorate--than the other advancement personnel (Table 17). Eighty-seven percent of the coordinating managers are men.

Sixty-three percent of the public relations or public information officers have the title director of public relations or director or coordinator of public information (Table 18). In 6 percent of the colleges, the director of development also handles public relations. Forty-nine percent of the public relations officers are men; 51 percent are women.

The public relations officers vary in years with the institution with a range of from under 1 to 32 years (Table 19). The mean number of years with an institution for this officer is 5.2 years. The mean for years of experience for these officers is 4.5, and the range is from under 1 year to 32. They have an average of 10 years experience in public relations with a range from no experience at all to 36 years.

Sixty-two percent of the public relations officers are 40 years old or younger. Five percent are over 60 (Table 20). They range in age from 22 to 75 and average 44. Fifty-six percent have earned the bachelor's degree and 32 percent the master's; 5.5 percent have earned a doctorate (Table 21).

In the area of publications, the title held by 68 percent of the people is director of public information, director of public relations, or director of publications (Table 22). The tendency of advancement personnel to wear many hats is

evident in this position. In 29 percent of the institutions, the director of development, director of college relations, or director of public relations is also the publications officer. Fifty-one percent of the publication officers are women.

TABLE 18

TITLES OF PUBLIC RELATIONS/INFORMATION OFFICERS

Title	Percent
Director of Public Relations	33
Director of Coordination of Public Information	30
Director of College Relations	10
Director of Development	6
Director of Communications	6
News Bureau Director	2
Director of Public Affairs	2
Director of Publications	3
Other	8

TABLE 19

EXPERIENCE OF PUBLIC RELATIONS OFFICERS

Years	With Institution (Percent)	In Position (Percent)	Experience (Percent)
0 - 2	51	54	24
3 - 5	18	20	21
6 - 10	16	14	22
11 - 15	6	6	14
16 - 20	2	2	9
21 - 30	5	3	6
31+	2	1	4

TABLE 20

AGE OF PUBLIC RELATIONS OFFICER

Age	N	Percent
22 - 30	40	37
31 - 35	13	12
36 - 40	14	13
41 - 45	8	8
46 - 50	8	8
51 - 55	14	13
56 - 60	4	4
61 - 75	5	5

TABLE 21

EDUCATIONAL DEGREES OF PUBLIC RELATIONS OFFICERS

Degree	Percent
Associate	5.5
Bachelor's	56.0
Master's	32.0
Certificate	1.0
Doctorate	5.5

TABLE 22

TITLES OF PUBLICATION OFFICERS

Title	Percent
Director of Public Information	30
Director of Public Relations	19
Director of Publications	19
Director of College Relations	5
Director of Development	5
Director of Communications	4
Editor	4
Other	14

TABLE 23

EXPERIENCE OF PUBLICATION OFFICERS

Years	With Institution (Percent)	In Position (Percent)	Experience in Field (Percent)
0 - 2	41	46	19
3 - 5	20	28	32
6 - 10	23	15	26
11 - 15	12	8	11
16 - 20	2	3	7
21 - 30	2	0	5
31	0	0	0

TABLE 24

AGE OF PUBLICATION OFFICERS

Age	N	Percent
22 - 30	14	44
31 - 35	3	9
36 - 40	5	16
41 - 45	2	6
46 - 50	4	13
51 - 55	3	9
56 - 60	1	3
61 - 66	0	0

The publication officers vary in longevity with the institution from under one year to 21 (Table 23). The mean number of years with the institution is 5.3. These same publications officers average 4.2 years in their current positions and 7.8 years experience in the field. The range of years in their current positions is from under 1 to 19. The range in years of experience for these publication officers varies from under 1 to 30.

Of the five functional officers surveyed, the publications officers have the youngest mean age--36 years. Sixty-nine percent are 40 or younger. The range in age is from 22 to 58 years. The publication officers also have the least number of advanced degrees (Table 25). Sixty-one percent have the bachelor's degree.

TABLE 25

EDUCATIONAL DEGREES OF PUBLICATION OFFICERS

Degree	Percent
Associate	5
Bachelor's	61
Master's	29
Doctorate	5

The most common title for the chief fund-raising officer is director of development--37 percent (Table 26). Thirteen percent have the title vice president for development or vice president for college relations, and another 11 percent are assistant or associate directors of development. The remaining 39 percent assume a wide variety of titles. Seventy-nine percent are men.

The fund-raising officers average 6.3 years with the institution, they have been in their current positions an average of 3.6 years, and they have an average of 8.3 years experience as fund raisers. Years with the institution ranges from under 1 to 30; years in their current positions from under 1 to 15; and experience in the fund-raising field from under 1 to 35. The average years in current position is lower (3.6 years) for fund raising than for the other advancement functions surveyed.

TABLE 26

TITLES OF FUND-RAISING OFFICERS

Title	Percent
Director of Development	37
Vice President for Development or College Relations	13
Associate or Assistant Director of Development	11
Director of Annual Giving	5
Director of Deferred Giving	4
Assistant to President	4
Director or Associate for Institutional Advancement	5
Other, etc.	21

TABLE 27

EXPERIENCE OF FUND-RAISING OFFICERS

Years	With Institution (Percent)	In Position (Percent)	Experience in Field (Percent)
0 - 2	33	51	23
3 - 5	25	27	18
6 - 10	23	19	36
11 - 15	10	3	12
16 - 20	6	0	4
21 - 30	3	0	6
31+	0	0	1

TABLE 28

AGE OF FUND-RAISING OFFICERS

Age	Percent
22 - 30	13
31 - 35	16
36 - 40	16
41 - 45	14
46 - 50	13
51 - 55	9
56 - 60	13
61 - 75	6

The mean age of the fund raisers is 44 years, and the range is from 22 to 75 (Table 28). Fifty-nine percent are 45 years old or younger. Forty-eight percent have a bachelor's degree, 37 percent the master's, and 12 percent the doctorate.

TABLE 29

EDUCATIONAL DEGREES OF FUND-RAISING OFFICERS

Degree	Percent
Associate	2
Bachelor's	48
Master's	37
Certificate	1
Doctorate	12

Seventy-three percent of the small college institutional advancement personnel who handle alumni affairs are titled alumni director (32 percent), director of alumni affairs (28 percent), or director of alumni relations (13 percent). Fifty-two percent are men.

TABLE 30

TITLES OF ALUMNI AFFAIRS OFFICERS

Title	Percent
Alumni Director	32
Director of Alumni Affairs	28
Director of Alumni Relations	13
Assistant Director of Development or Development Associate	10
Executive: Director or Secretary	5
Other Development Titles	12

Years with the institution for alumni affairs officers ranges from under 1 to 36. The range for years in position and years of experience in the field is from under 1 year to 28. The mean years with the institution for this group is 7.3. The mean years in current position is 4.1 and the mean years of experience is 4.7.

TABLE 31

EXPERIENCE OF ALUMNI AFFAIRS OFFICERS

Years	With Institution (Percent)	In Position (Percent)	Experience in Field (Percent)
0 - 2	37	52	43
3 - 5	28	28	31
6 - 10	10	9	10
11 - 15	10	8	13
16 - 20	6	3	0
21 - 30	8	-	3
31+	1	-	-

The alumni affairs officers range in age from 22 to 70 years (Table 32). The mean age of this group is 41. Fifty-eight percent have a bachelor's degree, and 33 percent the master's degree (Table 33).

Those small college advancement officers who did not hold any of the traditional descriptive titles (coordinating manager, public relations/public information officer, fund-raising officer, publication officer, or alumni officer) were listed under the category "Other" (Table 34). Twenty-one percent are directors of deferred or planned giving, 12 percent directors of church relations, and 11 percent directors of admissions. Thirty-four percent had titles too numerous to list. Seventy-five percent of these were men.

The advancement personnel listed under "Other" average 7.1 years with the institution, 3.1 years in their current positions, and 6.9 years experience in their field of specialty. The range is from 1 year to 40 for years with the institution and years of experience. The range in current position is from under 1 year to 25.

TABLE 32

AGE OF ALUMNI AFFAIRS OFFICERS

Age	Percent
22 - 30	27
31 - 35	13
36 - 40	10
41 - 45	12
46 - 50	15
51 - 55	6
56 - 60	8
61 - 70	9

TABLE 33

EDUCATIONAL DEGREES OF ALUMNI AFFAIRS OFFICERS

Degree	Percent
Associate	3
Bachelor's	58
Master's	33
Certificate	1
Doctorate	5

TABLE 34

TITLES OF OTHER FUNCTIONS

Title	Percent
Director of Deferred or Planned Giving	21
Director of Church Relations	12
Director of Admissions	11
Assistant or Associate Director of Development or College Relations	13
Director of Grants and Foundation Relations	9
Others	34

TABLE 35

EXPERIENCE OF OTHER OFFICERS

Years	With Institution (Percent)	In Position (Percent)	Experience in Field (Percent)
0 - 2	41	60	35
3 - 5	24	24	31
6 - 10	12	11	18
11 - 15	10	3	5
16 - 20	5	0	3
21 - 30	2	2	5
31+	6	-	3

TABLE 36

AGE OF OTHER ADVANCEMENT OFFICERS

Age	Percent
22 - 30	25
31 - 35	19
36 - 40	7
41 - 45	5
46 - 50	6
51 - 55	10
56 - 60	13
61+	15

The age of these other advancement officers tends to be weignted at both the young end (25 percent under 30 years) and the older end (15 percent over 61 years old). They range in age from 23 to 72 with an average of 43.5. As would be expected because of their age, their educational degrees favor the two extremes--47.8 percent have bachelor's degrees and 17.4 percent have doctorates.

TABLE 37

EDUCATIONAL DEGREES OF OTHER ADVANCEMENT PERSONNEL

Degree	Percent
Associate	4.3
Bachelor's	47.8
Master's	29.0
Certificate	1.4
Doctorate	17.4

TABLE 38

NUMBER OF INSTITUTIONAL ADVANCEMENT PROFESSIONALS
BY ENROLLMENT

Enrollment	N	Mean (FTE)
Up - 500	28	3.9
501 - 750	35	4.5
751 - 1,000	33	4.5
1,001 - 1,250	19	5.2
1,251 - 1,500	9	6.7
Over 1,501	10	5.2

The total number of full-time equivalent institutional advancement professionals averages 4.7 (Table 38). The range in professional staff size is from .5 FTE to 14.5 FTE. Eight colleges had one-person shops and 12 had two-person shops. It appears that the number of professionals in the advancement office plateaus at between four and five full-time equivalents whether the enrollment is 500 or 1250 students.

The supporting staff (clerical/secretarial) averages 3.7 full-time equivalents for the entire survey population (Table 39). The range of supporting staff in the advancement office is from .5 full-time equivalents to 15. The size of supporting staff appears to plateau just as the professional staff size does. A supporting staff of three to four people appears in colleges with enrollments of up to 500 students as well as in those with up to 1250. Fifty-one percent of the respondents indicated plans to enlarge their institutional advancement staff in the next two years.

Sixty-seven percent of the institutions have a long-range plan that includes projected program changes and long-range budget (Table 40). Ninety-one percent indicated that their institutions' objectives are in writing and clearly known to the respondent (Table 41). Eighty-one percent indicated that the advancement office has written annual goals and objectives, aside from a single dollar goal (Table 42).

Forty-four percent of the colleges are using professional counsel to manage an aspect of their advancement program, and 71 percent of the colleges have an active working trustee committee that assists the institutional advancement office.

TABLE 39

NUMBER OF INSTITUTIONAL ADVANCEMENT SUPPORTING (CLERICAL/SECRETARIAL) STAFF, BY ENROLLMENT

Enrollment	N	Mean (FTE)
Up to 500	29	3.0
501 - 750	35	3.4
751 - 1,000	33	3.3
1,001 - 1,250	19	4.5
1,251 - 1,500	10	5.5
Over 1,501	10	5.1

TABLE 40

INSTITUTIONAL LONG-RANGE PLAN IN WRITING, BY ENROLLMENT

Enrollment	Percent Yes
Up to 500	67.8
501 - 750	69.7
751 - 1,000	51.6
1,001 - 1,250	76.2
1,251 - 1,500	91.7
Over 1,501	55.6

TABLE 41

INSTITUTIONAL OBJECTIVES IN WRITING AND KNOWN

Enrollment	Percent Yes
Up to 500	86.7
501 - 750	94.1
751 - 1,000	82.9
1,001 - 1,250	95.2
1,251 - 1,500	91.7
Over 1,501	100.0

TABLE 42

ADVANCEMENT OFFICE WRITTEN GOALS AND OBJECTIVES

Enrollment	Percent Yes
Up to 500	75.9
501 - 750	85.3
751 - 1,000	74.2
1,001 - 1,250	80.0
1,251 - 1,500	83.3
Over 1,501	80.0

Fund Raising

This fund-raising section shows where the institutions' funds are coming from, who's making the calls on what donors, the usefulness of membership in an association to raise funds, what efforts are made by volunteers, what techniques are

used to raise the funds, and what plans exist for future capital campaigns.

The largest volume of face-to-face requests for money are made by the staff--not by the president or trustees (Table 43). Thirty-two percent of the advancement staffs make eight or more calls each month. Fifty-eight percent make four calls or more each month. Thirty-six percent of the presidents make four or more calls per month, and 11 percent of the trustees make four or more calls per month. No calls are being made by 48 percent of the trustees, 21 percent of the presidents, and 18 percent of the staff personnel.

Of all the $100-plus donors and prospects solicited, face-to-face trustees average nine percent of the calls, the president 24 percent, the staff 49 percent, and volunteers 18 percent (Table 44).

Seventy-three percent of the responding institutions belong to an association of colleges organized to raise annual funds. On the average, 11.7 percent of the surveyed colleges' annual unrestricted giving is accounted for by this association. This percentage of support ranges from 1 to 50 percent of an institution's annual unrestricted giving. On the average, these colleges expend 64.3 percent of their fund-raising efforts to raise annual unrestricted money. This percentage of effort ranges from 1 to 100 percent of the college's efforts.

TABLE 43

AVERAGE MONTHLY FACE-TO-FACE REQUESTS FOR GIFTS

Requests	Percent by Trustees				Percent by President				Percent by Staff			
	0	1-3	4-7	8+	0	1-3	4-7	8+	0	1-3	4-7	8+
On Trustees	52	41	6	1	29	50	13	8	45	36	11	8
On Corporations	50	38	9	3	21	40	26	13	12	31	23	34
On Foundations	63	32	2	3	27	50	17	6	14	53	18	15
On Individuals	29	53	9	9	9	32	27	32	6	16	14	64
Mean	48	41	7	4	21	43	21	15	18	4	16	32

TABLE 44

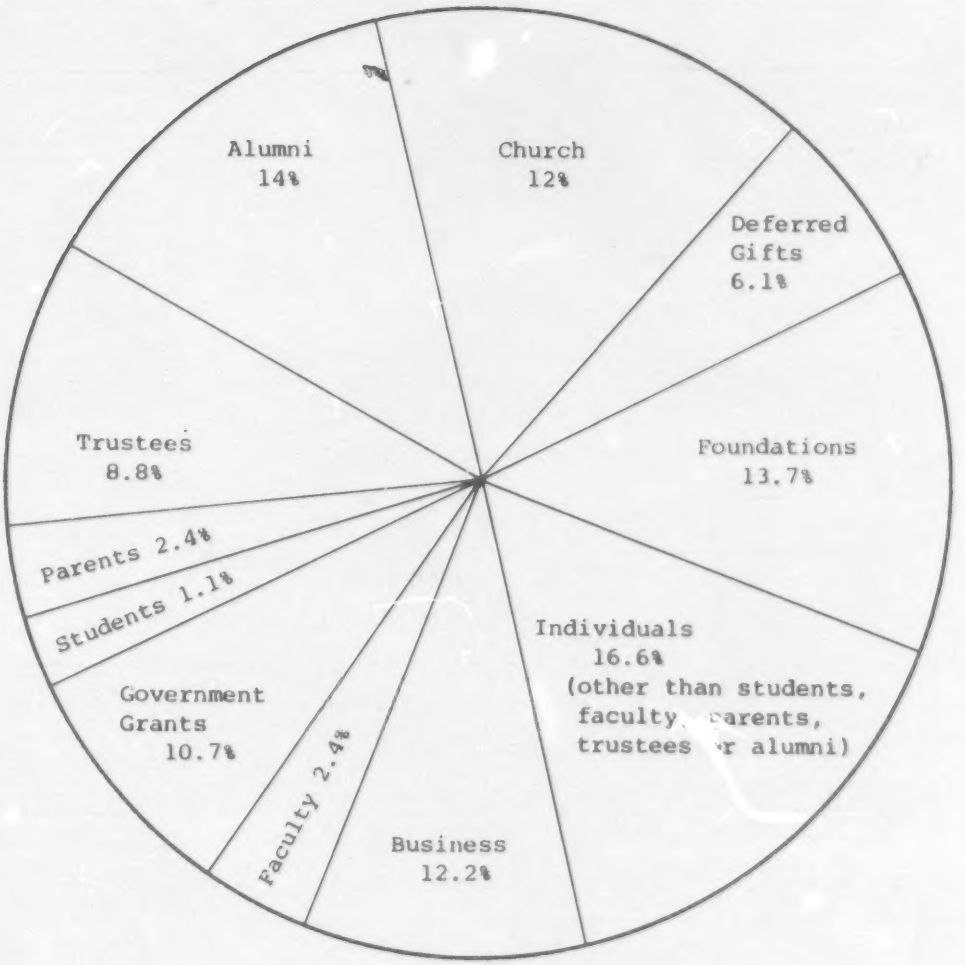
PERCENT OF ALL $100-PLUS DONORS SOLICITED FACE-TO-FACE BY TRUSTEES, PRESIDENTS, STAFF, AND VOLUNTEERS

Percent	Percent by Trustees	Percent by President	Percent by Staff	Percent by Volunteers
1 - 10	78	44	17	56
11 - 20	7	20	9	22
21 - 30	11	13	13	6
31 - 40	-	6	12	6
41 - 50	3	9	8	5
51 - 60	1	3	5	1
61 - 70	-	2	10	1
71 - 80	-	2	10	1
81 - 90	-	1	9	1
91 - 100	-	-	7	1
Mean	9	24	4[illegible]	18

Individuals (donors other than alumni, faculty, students, trustees, or parents) contribute the largest single percentage (16.6 percent) of the total money received by the surveyed colleges (Illustration 2). Alumni account for 14 percent, foundations 13.7 percent, businesses 12.2 percent, and churches 12 percent. The remaining support comes from government grants (10.7 percent), trustees (8.8 percent), deferred gifts (6.1 percent), students (1.1 percent), and parents and faculty (2.4 percent each).

ILLUSTRATION 2

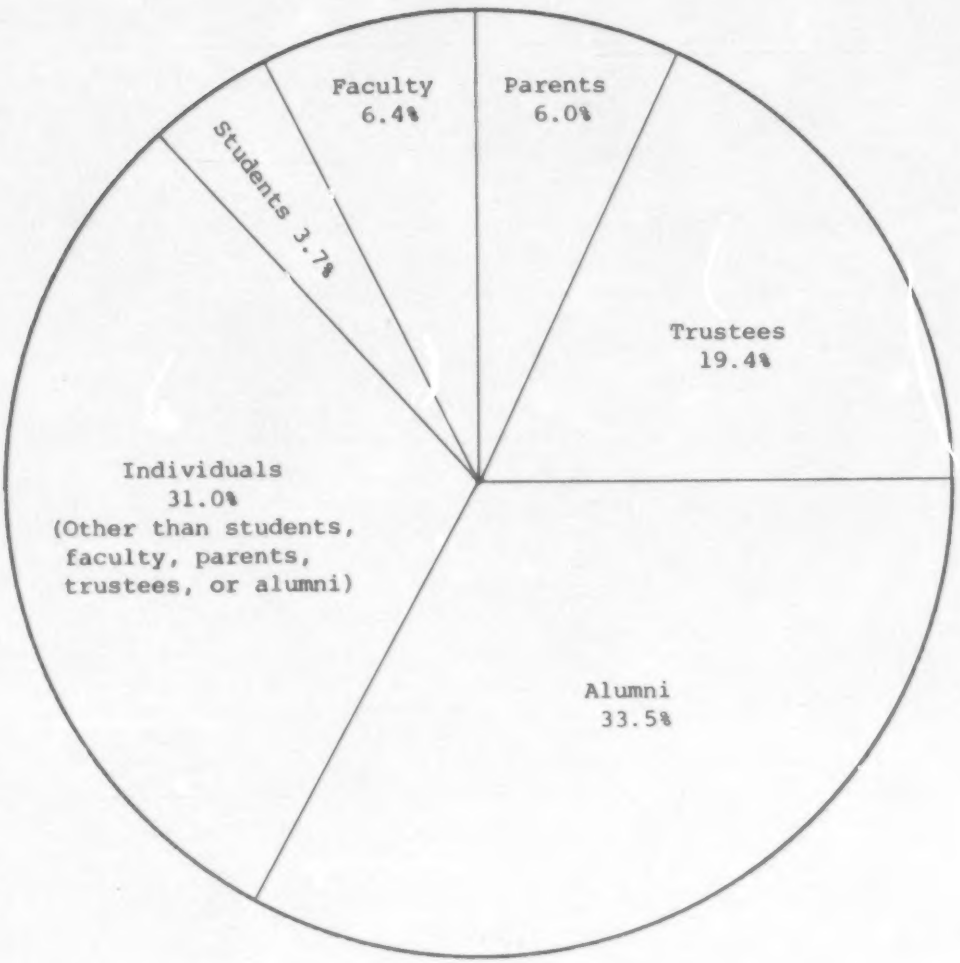
CONTRIBUTIONS BY DONOR CATEGORIES



Alumni comprise 33.5 percent of the surveyed college's fund-raising efforts (Illustration 3). Individuals other than alumni, parents, students, faculty, or trustees comprise 31 percent of the volunteer efforts. Trustees contribute 19.4 percent, faculty 6.4 percent, parents 6.0 percent, and students 3.7 percent.

ILLUSTRATION 3

VOLUNTEER FUND-RAISING EFFORTS



Mailing lists range from 1,000 to 75,000 names with a mean of 13,238. Address records are computerized by 56.2 percent of the colleges, but only 38.7 percent have donor records computerized. The average turn-around time for receipting a gift is 3.3 days, and the range is from 1 to 20 days.

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A market analysis of a college's donor constituents to determine who gives and why has been conducted by only 19 percent of the institutions.

Seventy-three percent of the colleges have a special "giving club" for major donors, and 89 percent make an active effort to bring potential major donors to the campus. Seven percent have a legally separate foundation for the purpose of raising funds.

Sixty-seven percent to 77 percent of the colleges actively solicit bequests, annuities, or trusts (Table 45).

TABLE 45

DEFERRED GIFT SOLICITATION

	Mean Percent Yes
Bequests	77
Annuities	64
Trusts	67

A mean of 2.66 full-time equivalent professional staff time is used to raise money. The range is from .2 to 8.5. The largest percentage of time is spent with alumni (21.3 percent) and individuals (16.4 percent), as Table 46 shows. The least amount of time is spent with students (1 percent) and faculty (2.2 percent). Within the different constituent groups, the range of time spent varies from zero to 95 percent.

Seventy-two percent of the surveyed colleges plan to conduct a major capital campaign in the next three years while 42 percent have had a major capital campaign in the last three years.

The mean private capital gifts for all colleges is $410,163 (Table 47). Without the large capital gift noted in the 1,001-1,250 enrollment size schools, the adjusted mean is $355,870. The range of capital gift income was from $2,500 to 3,218,457. (The $12 million gift to one school is not reported here.)

TABLE 46

TIME SPENT FUND RAISING PER DONOR CONSTITUENCY

Donor Constituency	Mean Percent of Time
Alumni	21.3
Parents	5.3
Students	1.0
Trustees	4.7
Faculty	2.2
Individuals (other than above)	16.4
Foundations	9.9
Businesses	13.5
Churches	9.1
Deferred Gifts	9.2
Government Grants	7.4

TABLE 47

TOTAL PRIVATE CAPITAL GIFTS BY ENROLLMENT SIZE

Enrollment	Mean Capital Gifts
Up to 500	$ 159,730
501 - 750	234,114
751 - 1,000	303,531
1,001 - 1,250	1,218,383*
1,251 - 1,500	405,930
Over 1,500	583,701

*One college reported an unusually high capital income of $12,814,980 which skewed the mean considerably. Without this gift, the mean would be $448,214.

The mean private operations/unrestricted gifts for all the reporting institutions is $434,651 (Table 48). The range of gifts among these institutions is very wide--from $1,200 to $1,248,949.

TABLE 48

TOTAL PRIVATE OPERATIONS/UNRESTRICTED GIFTS
BY ENROLLMENT SIZE

Enrollment	Mean Unrestricted Gifts
Up to 500	$274,575
501 - 750	295,342
751 - 1,000	358,632
1,001 - 1,250	515,416
1,251 - 1,500	581,971
Over 1,500	475,129

Institutional Relations

Among the surveyed colleges, a mean of 1.68 full-time equivalent professional staff time is spent on institutional relations activities. The breakdown by college student enrollment size demonstrates that the mean varies insignificantly with increased size. This is the same plateau effect that was evident in several of the fund-raising staffing areas. The range in staff time is from .1 to 4.9 full-time equivalents.

TABLE 49

PROFESSIONAL STAFF TIME SPENT IN INSTITUTIONAL RELATIONS BY ENROLLMENT SIZE

Enrollment	Mean Professional Staff (FTE)
Up to 500	1.73
501 - 750	1.48
751 - 1,000	1.42
1,001 - 1,250	2.32
1,251 - 1,500	1.89
Over 1,501	1.87

Table 50 breaks down the staff time by percentage spent on the various institutional relations activities.

TABLE 50

PERCENT OF TOTAL PROFESSIONAL STAFF TIME SPENT IN VARIOUS INSTITUTIONAL RELATIONS ACTIVITIES

Activity	Mean Percent
News Releases	19.4
Publication Writing	18.6
Public Relations	16.8
Publication Design	8.9
Special Events	7.9
Advertising	6.5
Photography	5.9
Sports Information	5.4
Conference Activity	3.7
Typesetting	2.9
Outreach Teams	2.8
Speaker Bureau	1.2

Eighty-six percent of the colleges reported that their news releases are cleared through a central office. Only 22 percent of the colleges have established a public relations advisory group comprised of people outside the institution.

TABLE 51

IMPORTANCE OF PUBLIC RELATIONS GOALS TO INSTITUTION

Goal	Mean (Scale of 0 - 4)
Attract prospective students	3.77
Build and hold good will for the institution	3.67
Raise funds	3.35
Add to the college's academic reputation	3.17
Build favorable relations with the community	3.13
Report news	2.68
Provide a community service	2.38
Show the importance of religion in education	2.36
Build favorable relations with faculty	2.35
Educate public about higher education	1.92

The high ranking of raising funds (3.35), attracting students (3.77), and building and holding good will for the institution has a high correlation with the lifeblood of survival for the small, independent college (Table 51).

Publications

Publications are an important way of getting an institution's message to its publics. The principal general publication at 38 percent of the colleges is a tabloid. At 30 percent it is a magazine, and at 29 percent a newsletter. A variety of other formats are used by an additional 3 percent of the respondents. Sixty-eight percent publish this piece quarterly, 16 percent bimonthly, 5 percent monthly, and 11 percent a

variety of other frequency schedules. Only 16 percent indicate that the majority of their college promotional material is printed on campus.

A mean percentage of 69 percent of the entire sample population have a centralized publication policy that requires all publications to be approved by one central office (Table 52).

Only a mean percentage of 19.7 of the responding institutions have conducted within 3 years a readership poll of the recipients of their publications (Table 53). And only 20 percent have conducted market analysis within the last three to measure the effectiveness of their communication program among various constituencies. Among 58 percent of the small colleges the institutional advancement office is responsible for the publication of student recruitment literature.

TABLE 52

CENTRALIZED PUBLICATIONS POLICY BY ENROLLMENT SIZE

Enrollment	Mean Percent Yes
Up to 500	61.5
501 - 750	85.2
751 - 1,000	85.2
1,001 - 1,250	52.6
1,251 - 1,500	70.0
Over 1,501	40.0

TABLE 53

CONDUCTED READERSHIP POLL BY ENROLLMENT SIZE

Enrollment	Mean Percent Yes
Up to 500	21.4
501 - 750	26.5
751 - 1,000	24.1
1,001 - 1,250	5.0
1,251 - 1,500	20.0
Over 1,501	20.0

Alumni Programs

Generally, alumni provide a backbone for the annual support small colleges receive for operations. Eighteen percent of the population have a legally incorporated, independent alumni organization. Eighty-three percent of the alumni organizations are funded by the college, and 53 percent indicated that, if they have regional alumni chapters, they are active.

Only 25 percent of the colleges have special alumni programs for recent graduates. A mean of almost a complete full-time equivalent (.9) of professional staff time is spent with alumni activities not directly related to raising funds.

Government Relations

The mean government relations activities per year for the entire population is 3.7 voluntary activities to improve each institution's relationship with a state or federal agency (Table 54).

TABLE 54

GOVERNMENT RELATIONS ACTIVITIES BY ENROLLMENT SIZE

Enrollment	Mean Activities
Up to 500	3.73
501 - 750	5.03*
751 - 1,000	6.20**
1,001 - 1,250	4.41
1,251 - 1,500	9.00***
Over 1,501	5.50

*One college reported unusually high activity of 50. Without this school, the mean would be 3.03, much closer to the average.

**Two schools reported 25 activities each. Without them, the mean activity would be 2.16.

***One school reported 45 activities. Without this entry, the mean would be 5.0.

TABLE 55

PERCENT OF COLLEGES NOT CONDUCTING GOVERNMENT RELATIONS ACTIVITIES BY ENROLLMENT SIZE

Enrollment	Percent With No Activity
Up to 500	34.6
501 - 750	43.3
751 - 1,000	44.8
1,001 - 1,250	41.2
1,251 - 1,500	20.0
Over 1,501	22.2

A mean of 38.2 percent conducted no voluntary activities (lobbying, dinners, visits, etc.) to improve the institution's relationship with a state or federal agency (Table 55).

Eighty-one percent actively sought government grant funding. Table 56 lists the title of the person responsible for these grant preparations.

TABLE 56

TITLE OF PERSON PREPARING GOVERNMENT GRANT PROPOSALS

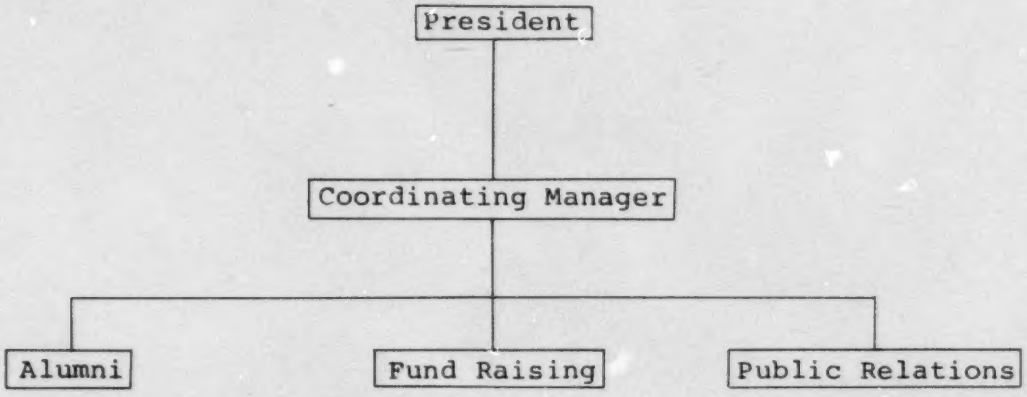
Title	Percentage
Coordinator of Grants	20
Director of Development	19
Vice President of Development	14
Academic Dean	9
Director of Government Relations	5
President/Provost	5
Director of Foundation Relations	3
Director of Institutional Advancement	3
Other	22

General Organizational Charts

The responding institutions diagrammed their advancement program into one of six organizational structures. Illustration 4 shows the most predominant arrangement, found in 42 percent of the responding institutions: a coordinating manager to whom personnel in alumni, fund raising, and public relations report. Some of the colleges added a fourth function of admissions, church relations, or deferred gifts.

ILLUSTRATION 4

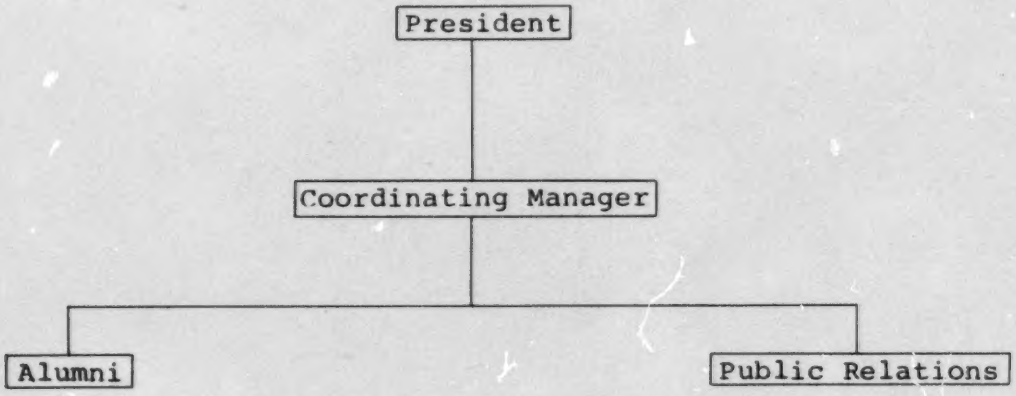
PREDOMINANT ORGANIZATIONAL PATTERN



The next most common organizational arrangement (16 percent) is to have a coordinating manager with an alumni and public relations person (Illustration 5). The assumption here is that the coordinator is the chief fund-raising officer.

ILLUSTRATION 5

COORDINATING MANAGER WITH ALUMNI AND PUBLIC RELATIONS STAFF

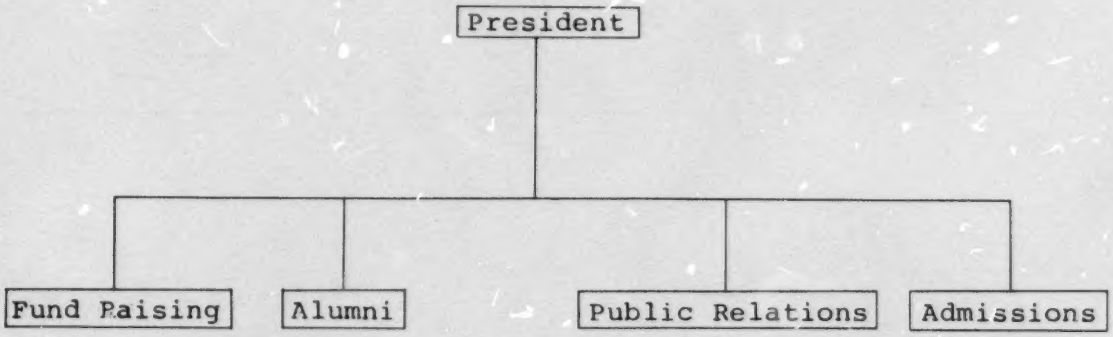


The third most common organizational pattern (12.5 percent) is to have three functions report directly to the president: alumni, public relations, and fund raising (Illustration 6).

Sometimes admissions is added as a fourth area of responsibility.

ILLUSTRATION 6

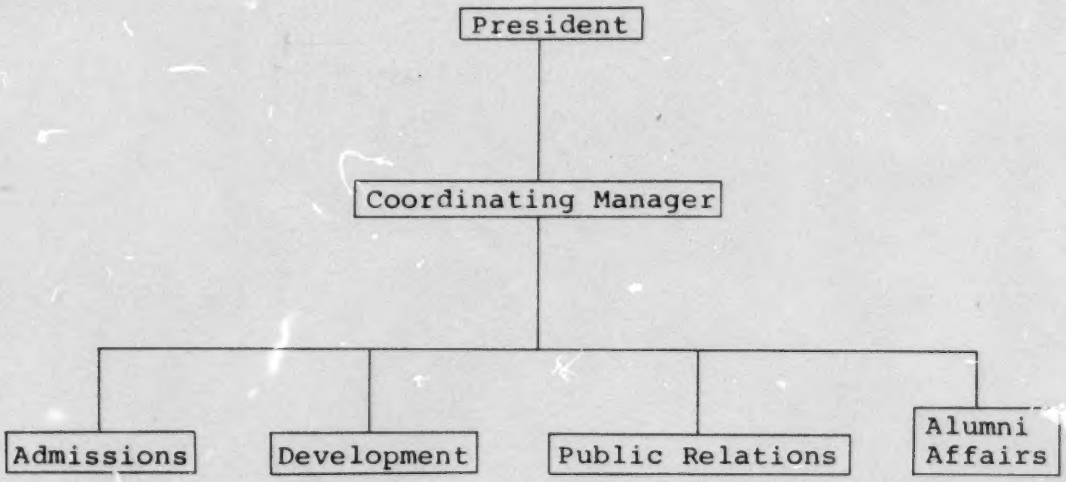
PRESIDENT AS COORDINATING MANAGER



An almost equal number (12 percent) of the colleges have centralized the advancement program by having development, public relations, and admissions report to the coordinating director or vice president (Illustration 7). Sometimes a fourth function, alumni affairs, is added.

ILLUSTRATION 7

COORDINATING MANAGER WITH DEVELOPMENT, PUBLIC RELATIONS, AND ADMISSIONS STAFF



The two remaining arrangements are (1) a director of development operating as a one-person shop (4.5 percent) and (2) a development and public relations person reporting to a coordinating manager who reports to the president.

CHAPTER 4: THE ASSESSMENT

This chapter assesses the process of institutional advancement at the surveyed colleges by comparing the 23 benchmarks of the framework with "what is"--the data gathered from the responses to the questionnaire.

Institutional Commitment

One measure of a healthy advancement process is the degree of institutional commitment to the advancement program. This commitment is characterized by an institutional long-range plan and objectives, written advancement office goals, sufficient budget allocation, and adequate professional and clerical/secretarial staff.

Articulation of Goals, Objectives, and Long-Range Plans

An institution's objectives should be in writing and clearly known to the advancement officer. Ninety-one percent of the surveyed population indicated that their institution's objectives are in writing and clearly known (see Table 40, p. 77). There is a greater tendency for colleges with larger enrollments to have the objectives in writing. However, the difference among the institutions according to enrollment size is not significant.

The college president is obviously a vital force in establishing institutional goals and objectives, and the fact that 34 percent of the respondents were presidents cannot have helped but skew this response higher than it would have been if only advancement officers had responded.

The 9 percent of the respondents who do not know their institution's objectives need to assess what the advancement program is doing and why to find out whether, in fact, it is supporting the institution's objectives.

Institutions should have a long-range plan that includes projected program changes and a long-range budget. Sixty-seven percent of the surveyed institutions had a long-range plan that included projected program changes and a long-range budget (see Table 41, p. 78). There is no apparent pattern among the different enrollment sizes of the colleges. It would be highly advisable, according to the professional literature, for those small colleges that do not have a long-range plan (33 percent) to develop one quickly but methodically. As Astin and Lee point out in The Invisible College,[1] one weakness of small colleges is their tendency to copy the

programs of elite institutions. A well defined, written long-range plan would help alleviate this problem.

The advancement officer should have written annual goals and objectives. Among the surveyed population, 81 percent indicated that the advancement office has written annual goals and objectives, aside from a single dollar goal (Table 42, p. 78). There is no correlation between enrollment size and written annual goals. Those 19 percent of the colleges that do not have written advancement goals should develop them as a management tool needed for effective planning, implementing and evaluating their advancement efforts.

Budget Allocation

Four to eight percent of the total educational and general (E&G) budget should be for advancement. Among the surveyed colleges, the mean percentage of the institution's E&G expenditures is 6.5 percent. Table 57 provides a breakdown by enrollment size. The mean institutional expenditure was $213,509--varying from $17,400 to $681,404.

The mean gift income (operations and capital) for the colleges ranges from $434,305 to $1,058,830 with a mean of $773,714 (Table 58). These all fall within the ranges found by Leslie.

TABLE 57

PERCENT OF E AND G ALLOCATED TO ADVANCEMENT PROGRAM BY ENROLLMENT

Enrollment	Percent*
Up to 500	8.6
501 to 750	7.1
751 - 1,000	7.2
1,001 - 1,250	5.5
1,251 - 1,500	5.8
Over 1,501	4.9

*Table 10 divided by Table 6

TABLE 58

TOTAL GIFT INCOME BY ENROLLMENT

Enrollment	Mean
Up to 500	$ 434,305
501 - 750	529,456
751 - 1,000	662,163
1,001 - 1,250	963,630
1,251 - 1,500	987,901
Over 1,501	1,058,830

Twenty-six colleges or 20 percent of the population spent under $100,000 for advancement. Thirty-nine colleges or 30 percent of the sample population spent under $120,000. According to Pickett criteria, 63.2 percent of the colleges in 1974 that spent under $100,000 on advancement were underproductive. This 20 to 30 percent of the sample are likely candidates for underproductive programs that should be reevaluated. The tendency is that the smaller the college, the less productive it is in advancement activities.

Enrollment size also seems to affect the percentage of E&G spent for advancement. As the enrollment size gets smaller, a much larger percentage of the institution's budget must be spent for advancement. It appears that a college with over 1,000 students can allocate a much more reasonable percentage of the institution's budget to advancement activities. If a college is spending 8 percent or more of its budget for advancement, it is probably struggling for survival to the detriment of the quality of the rest of the program and should reconsider priorities.

A dollar should be raised for every 25 to 40 cents spent for the advancement process. Among the survey population the mean cents-cost per dollar raised (operations and capital) is 29 cents. The range is 26¢ to 33¢.

TABLE 59

COST OF RAISING ONE DOLLAR (OPERATIONS AND CAPITAL) FOR SURVEY POPULATION

Enrollment	Mean Cents/Cost
Up to 500	31¢
501 - 750	32
751 - 1,000	33
1,001 - 1,250	24
1,251 - 1,500	30
Over 1,501	26

These averages are consistent with the findings of the Leslie study. There is a tendency for the smaller college advancement process to expend more cents per gift dollars raised than larger schools. However, it appears that the population sample, on the average, does raise a reasonable number of dollars per cents expended for the advancement process.

Staffing Commitment

Two to five professional advancement personnel should be employed. Among the survey population, the mean professional staff was 4.7 full-time equivalents--ranging from .5 FTE up to 14.5 FTE (Table 38, p. 76). This mean of 4.7 FTE falls well within the recommended range of professional advancement staff needed to implement the advancement process. Eight institutions or 6 percent of the survey population indicated one or fewer full-time equivalent professional staff employed in advancement. Another 12 schools (9 percent) had two professional advancement officers. Thus, 15 percent of the surveyed population needs to consider seriously Leslie's suggestion that a small advancement officer may be no better than none at all.

Two to five supporting (clerical/secretarial) staff should be employed. The questionnaire results showed that the supporting clerical/secretarial staff averages 3.7 full-time equivalents--ranging from .5 FTE to 15 FTE. Sixteen insti-

tutions or 12 percent of the sample indicated one or fewer supporting staff personnel. Another 29 colleges or 21 percent indicated two supporting employees. These 33 percent of the sample are functioning with a minimal support staff.

Authority and Organizational Structure

A necessary component of the advancement effort is appropriate authority designation and organizational structures to implement that authority. Indicators of a healthy advancement process include: the chief advancement officer reports to the president and is in the executive officers' group; the advancement function is centrally managed; and the organizational model reflects this centralization.

The small colleges surveyed demonstrated greater strength in this area--authority and organizational structure--than in the other four areas studied: institutional commitment, personnel resources, advancement activities and functions, and evaluation.

Ninety-three percent of the chief advancement officers report to the president, 98 percent assume a position in the top executive officers' group, and 75 percent have an organizational pattern encouraging centralization of authority. These strengths tend to be reflected because of the small college's ability to change rather quickly if desired (minimal bureaucracy) and also because of their desire to become part of the supposedly accepted norms of the more prestigious institutions.

The areas of the greatest concern should be among these 45 percent of the institutions that do not have centrally managed advancement functions, the 31 percent that do not have a centralized publication policy, and the 25 percent that do not have an organizational pattern encouraging centralization. These three areas, although not critical to every institution, are the ones that deserve particular attention to assure improvement in the authority and organizational structure process.

Advancement Management Study

The chief advancement officer should report to the president of the institution. The results of the survey show that in 93 percent of the responding institutions the chief advancement administrator reports to the president. Two percent report to an executive vice president, 1 percent to the board of trustees, and 4 percent to the chancellor, academic dean, or other administrator. These results indicate that the

advancement process is following the recommended pattern among the small, independent colleges. The 7 percent of the chief advancement officers who do not report to the president should question the effectiveness of the process in which they are participating.

The chief advancement officer should have a position in the top executive officers' group. Among the small, independent colleges sampled, 97.6 percent assume a position in the top executive officers' group. This is a good indication of the correct policy input approach.

Advancement Function Centralization and Organization

The institutional advancement function should be centrally managed. The data base shows that 65 percent of the survey population have centrally managed advancement functions coordinated by one officer. There is no clear pattern of variation among the different enrollment sizes (see Table 11, p. 59). These centrally managed advancement offices have existed for an average of 11 years--ranging from under 1 to 44 years. Sixty-nine percent of the institutions require all publications to be approved by one central office. Eighty-six percent of the colleges reported that their news releases are cleared through a central office.

These data suggest that the small college needs to improve its centralization of the advancement activities. A higher percentage of the programs should be centralized, and more news service and publication efforts should be centralized. The small college cannot afford the inefficiency that results when people all over campus are involved in advancement. Centralization yields control, unification of efforts, and efficiency that will improve the process of gaining support. Since the longevity of advancement efforts affects support in the long term, this coordinating should be accomplished as soon as possible.

The organizational model should foster centralization. The data reveal that 42 percent of the colleges have a structure in which personnel in alumni, fund raising, and public relations report to a coordinating manager (see Illustration 4, p. 96). This is the recommended structure for most colleges. The next two most predominant organizational structures are variations of this approach. Sixteen percent have a coordinating manager who serves as the chief fund raiser and an alumni and public relations person (see Illustration 5, p. 96). This is a very good system for the smaller college. It allows centralization with a small staff. In the next most predominant arrangement (12.5 percent), the president is the coordinating officer. A similar number (12 percent) of the colleges have a centralized

advancement program in which fund raising, public relations, and admissions report to a coordinator. This is the preferred organizational pattern among the larger colleges in the sample (1,500-2,000 enrollments). The remaining colleges have a variety of different arrangements (including a one-person shop), and they are the least likely to have effective organizational structures.

Personnel Resources

An effective institutional advancement process requires quality people--a capable manager, an active fund-raising president, involved trustees and volunteers, and working trustee and public relations committees comprised of people outside the institution.

The personnel resource area had more dramatic strengths and weaknesses than any of the other assessed areas. For example, the coordinating managers had an appropriate title (92 percent), knowledge of the institution (82 percent had more than one year with the institution), and advancement experience (72 percent had four or more years experience). On the other hand, presidents are not active fund raisers (85 percent make seven or fewer calls per month), outside public relations advice is generally not sought (78 percent do not have a public relations committee comprised of individuals outside the institution), and half of the trustees make no monthly money solicitations (48 percent average no face-to-face requests for gifts). The general tendency among smaller colleges is to offer lower than average salaries and limited opportunities for professional growth, if any at all.

A natural result of this situation is personnel who are not highly educated and do not have a lot of advancement experience. Probably the strength of the small college, however, is its ability to attract people who are committed to the institution and the mission it promotes. Without this commitment most small colleges would have long since closed.

Professional Staff

The advancement manager should be experienced in advancement, knowledgable of an institution, educated with preferably the doctorate, and assigned a title carrying authority. Among the small colleges surveyed, the mean years of experience for the coordinating manager is 11.2 years. Twenty-seven percent have 5 years of experience in the field or less, and another 28 percent have from 6 to 10 years. The remaining 41 percent have from 11 to over 30

years of experience. The coordinating managers who have 3 or fewer years of experience in the field (18 percent) probably do not have enough experience to be the chief manager. The small college offering low salaries and seemingly unable to attract people from outside the immediate area often must settle for inexperienced personnel at a time when the demand for advancement personnel is high, as evidenced by the ads in The Chronicle of Higher Education. And the personnel who report to an inexperienced coordinating manager have even less experience.

Among the survey population, 16 percent of the coordinating managers have been with the institution 1 year or less; 14 percent have been there 2 to 3 years; and 11 percent from 4 to 5 years. Thirty percent have been at their institution from 6 to 10 years. Those coordinating managers who have 2 years or less with the institution are going to have a difficult time interpreting the institution.

The results of the survey of titles at the CASC colleges show 52 percent titled director of development or vice president for development and 16 percent executive vice president. Four percent are vice president for institutional advancement and 10 percent director of college relations. Eight percent are titled assistant to the president, business manager, or some other title inappropriate to the person's functions and authority.

Traditionally, advancement people have not earned the doctorate. This is particularly true at the small, independent college. Twenty-three percent of the coordinating managers have a doctorate, 42 percent a master's, 28 percent a bachelor's, and 5 percent have an associate's or certificate degree. No doubt a much higher percentage of doctorates exists among the other cabinet-level officers. It would behoove the advancement officer to have more higher earned degrees--especially the doctorate.

The president should be an active fund raiser and promoter of advancement activities making more than 10 percent of the $100-plus calls and averaging more than eight calls per month. Among the surveyed colleges, 44 percent of the presidents solicited 1 to 10 percent of all the $100-plus calls made on donors (Table 44, p. 81). Twenty percent made 11 to 20 percent of all the $100-plus face-to-face requests for money, and 13 percent made between 21 and 30 percent of all the solicitations for money from $100-plus donors. Another 18 percent made from 31 to 60 percent of all the calls on $100-plus donors. According to the criteria, 56 percent of the small, independent college presidents are making more than 10 percent of all the $100-plus face-to-face solicitations and can be called "active" fund raisers. The remaining

44 percent should change their priorities and spend more time working with major donors. The slack is now taken up by staff, trustees, and volunteers--or some calls may go unmade.

The mean number of monthly face-to-face solicitations made by presidents on trustees, corporations, foundations, or individuals is zero by 21 percent, one to three by 43 percent, four to seven by 21 percent, and eight or more for 15 percent (see Table 43, p. 80). This means that 64 percent of the presidents are not averaging one face-to-face request for gifts per week. Only 15 percent of the presidents are making eight or more calls per month. If, as the literature suggests, the president is an important link to a successful advancement effect, the survey reveals that the presidents need to become much more involved.

Volunteers

Trustees and other volunteers should be involved in advancement activities. The survey results show that a mean of 9 percent of all $100-plus donors solicited face-to-face were solicited by trustees. Seventy-eight percent of the trustees solicited 1 to 10 percent of all the $100-plus donors. Another 18 percent solicited from 11 to 30 percent of all $100-plus donors solicited (Table 44, p. 81). Forty-eight percent of the trustees averaged no monthly face-to-face requests for gifts. Forty-one percent average one to three, 7 percent average four to seven, and 4 percent average eight or more average monthly face-to-face requests for gifts (Table 43, p. 80). Trustees supply 19.4 percent of the volunteer work on behalf of the college's fund-raising efforts. Alumni provide 33.5 percent of the total volunteer fund-raising efforts, and other individuals 31 percent.

Quite often trustees at small colleges are elected not because of their giving and getting abilities but because of their beliefs or their associations with sponsoring organizations. It appears that trustees should become more involved in advancement activities. This activity, however, should be quality involvement, not just quantity. The trustee who is not involved will not be likely to encourage the president, and the president will not be likely to encourage the advancement staff. Thus few, if any, of the many necessary solicitation calls will be made.

The college should have an active, working trustee committee and a public relations advisory group comprised of people outside the institution. Seventy-one percent of the survey population indicated that they have an active working trustee committee assisting the institutional advancement office. And 22 percent of the colleges have established a public relations advisory group comprised of people outside the

institution. This second process is very weak. The small college tends not to concern itself with the opinions of outside groups, often, it seems, because of a sort of embarrassment about its size. But the small school should make a special effort to identify its unique strengths and project them to its constituents. This can be accomplished effectively through an active trustee advancement committee and a public relations advisory group.

Advancement Activities and Functions

The advancement process is carried out through activities and functions. Indications that a good job is being done include the following: fund raising efforts are made for unrestricted, capital, and deferred gifts; gift solicitation and acknowledgment are taking place; contact is being made with government officials; regional and recent alumni programs are in operation; adequate institution relations staff are employed; and a centralized publication policy exists.

Moderately adequate personnel resources result in moderately adequate advancement activities and functions performed by these people.

A comprehensive advancement program includes a program to raise annual, deferred, and capital gifts. While 70 percent of the surveyed colleges do solicit deferred gifts, they all should. All the colleges spend a concerted effort to secure annual gifts but only 42 percent have conducted a major capital campaign in the last three years. An ongoing program of both deferred and capital gifts is the backbone of any advancement effort. The income from the deferred gift area among small colleges should be increased from 6 to 15 percent; otherwise a premium of effort is needed in the annual giving area to compensate.

Gift solicitation levels of eight or more face-to-face calls each month are being made by only 32 percent of the professional staffs. Those gifts that are received are receipted and acknowledged within three days by 71 percent of the colleges. Those 29 percent of the colleges taking more than three days are not providing the type of immediate reinforcement that encourages a donor to feel needed and thus to give again.

The backbone of an annual giving program is a successful direct mail effort, and success in direct mail requires maximal numbers to work with. The 19 percent of the colleges with mailing lists under 5,000 names need to do everything possible to increase the list size.

Fund-Raising Activities

Fund-raising programs should include efforts to raise annual unrestricted support, capital giving needs, and deferred gifts. The colleges surveyed show evidence of offering full-fledged fund raising programs, but need to improve the fund-raising process. The survey population expends 64.3 percent of its fund-raising efforts for annual unrestricted monies. Sixty-five percent spend more than 50 percent of their fund-raising efforts for unrestricted monies, 41 percent spend 75 percent or more of their time, and 11 percent spend 90 percent or more of their time. The range is from zero to 100 percent.

Seventy-three percent of the responding institutions belong to an association of colleges organized to raise annual funds. On the average, 11.7 percent of the colleges' annual unrestricted giving is accounted for by this association. This percentage of support ranges from a low of 1 percent to a high of 50 percent of an institution's annual unrestricted giving. The indication is that gifts for annual unrestricted needs are a major concern for the small, independent college, and this concern occupies a majority of the advancement officer's time.

In the area of deferred gift solicitation, 77 percent of the colleges actively solicit bequests, 64 percent actively solicit annuities, and 67 percent actively solicit trusts (see Table 45, p. 84). On the average, the colleges expend 9.2 percent of their total staff time raising deferred gifts (Table 46, p. 85). These deferred gift efforts then account for 6.1 percent of the colleges' total monetary contributions.

In the area of capital campaigns, 42 percent of the responding colleges have conducted a major capital campaign in the last three years and 72 percent plan to conduct a major capital campaign in the next three years. It is possible that respondents' projections for the future are not as realistic as their reports on the past. However, one very successful school noted, "We are always in a capital campaign." This mentality should be more prevalent among the small, independent colleges.

Solicitations should be made by the trustees, president, staff, and volunteers; gift acknowledgments should be made within one to three days; and the mailing list should be as large as possible. Among the survey population, the largest volume of face-to-face requests for money are being made by the staff--not the president or trustees (Table 43, p. 80). Thirty-two percent of the college's professional staff are making eight or more face-to-face solicitations each month. Of all the $100-plus donors and prospects solicited face-to-

face, trustees average 9 percent of the calls, the president 24 percent, the staff alone 49 percent, and volunteers 18 percent. The process would be improved if each of these groups were able to increase by 10 percent the average number of calls made each month.

Once face-to-face solicitations have been made and gifts are received, the average turn-around time to acknowledge the gift is 3.3 days--ranging from 1 day to 20 days. Almost 39 percent of the colleges have put their donor records on computer. Seventy-one percent of the colleges acknowledge a gift within three days. The 29 percent that take more time need to make a significant improvement in the acknowledgment process.

The mailing list size for the colleges averages 13,238 names per school--ranging from 1,000 to 75,000 names. Address records are computerized by 56.2 percent of the colleges. Nineteen percent of the colleges have 5,000 or fewer names on their mailing lists, and 10 percent have 12,500 names or more. A mailing list size of under 5,000 is of questionable value for an efficient direct mail program. If at all possible, the colleges with lists of 5,000 names or less should make a concerted effort to double the list size at the very least. This will enhance the advancement process. (Obviously, these should not just be "names"--any names--but names of people such as parents, those active in the sponsoring denomination, and others who have some natural connection with the college.)

Full-Fledged Advancement Programs

At least two to four voluntary government relations activities should be conducted each year. Understandably, the weakest activity area for independent colleges is government relations. The survey population reported conducting an annual average of 3.7 voluntary activities (lobbying, dinners, visits, etc.) to improve their institution's relationship with a state or federal agency. Colleges with fewer students conducted fewer governmental relations activities than those with more students. A mean of 38.2 percent of the entire survey population conducted no voluntary activities to improve governmental relations. However, 81 percent of the population indicated that they actively seek government grant funding. This demonstrates the love/hate syndrome: We will use your money but we do not want anything to do with you. The 38 percent of the colleges that conduct no government cultivating activities should seriously consider changing their position towards government. One activity every four months is certainly a reasonable goal.

Small colleges should have regional alumni chapters, fund the alumni organization, and have a special alumni program for recent graduates. Among the study group, 83 percent of the alumni organizations are funded by the college, and 53 percent have active regional alumni chapters. Only 25 percent of the colleges have special alumni programs for recent graduates. However, a mean of almost a complete (.9) full-time equivalent of professional staff time is spent with alumni activities that are not directly related to fund raising. The small college should more actively promote regional alumni activities and a program for recent graduates.

The alumni of a college usually provide a ready-made constituency that helps assure advancement program success. Forty-seven percent of the survey population has no alumni chapter activity--it should be encouraged. In the area of special alumni activities for recent graduates, 75 percent of the colleges do nothing. Support starts with cultivation and cultivation of alumni starts when they are still students. Improvement is needed in this area.

Between 1.4 and 2.0 professional staff full-time equivalents should be allocated to institutional relations. A mean of 1.68 full-time equivalent professional staff time is spent with institutional relations activities. The breakdown by college student enrollment size demonstrates that the mean varies insignificantly when all the schools are compared (Table 49, p. 88). The number of professionals who do institutional relations ranges from .1 to 4.9 full-time equivalents. Four percent of the schools report fewer than one FTE, 39 percent report between one and two FTE, 34 percent reported two FTE, and 11 percent three. Those schools with less than one person working in institutional relations are probably not doing all that should be done to advance their institution.

The publication program should include a centralized publication policy and the mailing of a principal publication at least quarterly. A mean percentage of 69 percent of the entire sample population indicated having a centralized publication policy that all publications are approved by one central office. Sixty-eight percent mail their principal publication quarterly, 16 percent bimonthly, and 5 percent monthly. Eleven percent mail their main publication less frequently than quarterly, and a majority of these do not mail any publication at all. Accordingly the total advancement effort suffers.

Evaluation: An Integral Part of Advancement

Evaluation is needed to guide, adjust, and fine tune the institutional advancement process. To achieve this evalu-

ation, advancement programs should contribute to the general public relations goals, and evaluation should be done on readerships, donor constituencies, and the communication program.

This process of evaluation was the weakest of the five areas assessed. Only 19 percent of the institutions have conducted a market analysis to determine who gives and why. Only 20 percent have measured the effectiveness of their communication program, and only 20 percent have conducted a readership poll. This weakness is also quite common among not-so-small institutions. Evaluation, however, is an important part of a comprehensive advancement program at any size school, and if efforts are not made to provide evaluative data, advancement programs will have little empirical means to justify their significance or even their existence.

The natural outgrowth of a comprehensive institutional advancement program is that the primary public relations goals support institutional survival--attracting students, raising funds, and building and holding the good will of the public. Without successful advancement efforts in these areas, the survival of small, independent colleges becomes questionable.

Institutional Goals and Advancement Practice

Advancement programs should contribute to the major public relations goals of attracting prospective students, raising funds, and building and holding good will for the institution. The survival mentality of the '80s and the fragile stability of the small, independent college make the need for friends, funds, and freshmen a paramount concern. The research results support this concern. Among the surveyed institutions, the three most important public relations goals (in order of importance) were: (1) to attract prospective students, (2) to build and hold good will for the institution, and (3) to raise funds. The two next highest concerns were adding to the college's academic reputation and developing favorable relations with the community. These goals reflect the lifeblood of survival for the small, independent college.

Evaluation Tools

The advancement process should include a readership survey of publication recipients and market analysis of the donor constituency and the communication program. The research results suggest that the small, independent college is not using these evaluative tools. Only 19 percent of the institutions have conducted market analyses to determine who

gives and why. Within the last three years, only 19.7 percent of the responding institutions have conducted a readership survey of the recipients of their publications (Table 53, p. 92). A similar number (20 percent) have conducted a market analysis within the last three years to measure the effectiveness of their communications program among various constituencies. It is clearly evident, therefore, that evaluative tools are not being used. Probably small, independent colleges are simply doing what they see others do, whether or not it suits the particular needs of their institution. This should be changed.

NOTES

[1]Alexander W. Astin and Calvin B. T. Lee, The Invisible Colleges: A Profile of Small Private Colleges with Limited Resources (New York: McGraw-Hill Book Company, 1972), p. 10.

CHAPTER 5: CONCLUSION

Survival and advancement or death and closure are very real issues for small, independent colleges in the 1980s. The gravediggers have been trying to bury the small college for more than a century, and yet, despite the ongoing struggle, small, independent colleges have survived. There is strong evidence that the small college is committed to institutional advancement and that the necessary authority lines and organizational structure are being used to develop successful programs. Personnel are not as highly trained and experienced as desirable, but a personal commitment to the mission and style of the small college seems to facilitate remedying these shortcomings. Advancement functions and activities are well above average, but are limited in scope often due to a lack of staffing. Establishing priorities, therefore, becomes an important management consideration. Evaluation is the area of greatest advancement weakness as only one out of five advancement managers has sought empirical data that validates their program.

In reviewing a study such as this, it is important to maintain a holistic view. While effective advancement is vital to the small college, forces outside the advancement area--such as state and federal government--are playing a growing role in determining the future direction of small, independent colleges.

Astin and Lee conclude in The Invisible College that "so far, no one has developed a strategy for the salvation of invisible colleges that does not jeopardize either their small size or their private status." The solution is not an easy one. A college's environmental position, the socio-economic status of its graduates and current students, the endowment (if any), and the climate for scholarship and institutional aid in the state all play big roles in the total picture of the small college. Although this study did not consider the myriad relationships that influence the life of the institution, when the research data are applied to individual institutions, a sensitivity to these factors is imperative.

There are no easy or simple solutions to the struggle of the small, independent college. But this research, in assessing the process of institutional advancement at the small, independent college, has developed a collection of data and an analysis that can be used as a base for individual application and for further research.

APPENDIX A: QUESTIONNAIRE AND COVER LETTER

The Council for the Advancement of Small Colleges
ONE DUPONT CIRCLE WASHINGTON. D. C. 20036 • (202) 659-3795

GARY H. QUEHL
President

DANIEL H. PILON
Vice President for Campus Services

LLOYD M. RICHARDSON
Vice President for Programs

November 16, 1978

Dear Colleague:

Small independent colleges are on a collision course with shrinking student markets, rising costs, and growing competition for the philanthropic dollar. Those colleges which boldly attack these problems will move into the 1980s with greater institutional vigor and stability.

As a response to this challenge the Board of Directors of the Council for the Advancement of Small Colleges (CASC) designated 1978 and 1979 as years in which CASC programming should give special emphasis to the development and management of resources. As you know, the 1978 Institute addressed the topic of student recruitment and retention. The 1979 National Institute will focus on the generation of philanthropic financial support.

In keeping with the Board's decision, the theme for the CASC 1979 Institute is EFFECTIVE FUND RAISING FOR THE SMALL INDEPENDENT COLLEGE: A COMPREHENSIVE APPROACH. The Institute will be held June 10 through June 14, 1979, at Carroll College in Waukesha, Wisconsin.

The primary responsibility for planning the Institute is in the hands of the National Institute Planning Task Force (list enclosed), whose members design the program in response to the specific needs of the membership. To do this the Task Force needs your assistance. We ask that an appropriate person on your staff fill out the enclosed questionnaire and return it to the CASC office by December 15. (Information provided will be treated confidentially.) Not only will the information generated by the questionnaire help the Task Force plan the Institute, but we also hope to identify colleges with programs which may serve as models for others. In addition, the information you collect will help your college prepare for more effective participation in the Institute. The response of your college is important. Without this crucial information, the design of an effective and responsive Institute will be difficult if not impossible.

CASC Presidents November 16, 1978

If you have any suggestions or comments regarding the 1979 Institute, please don't hesitate to contact any member of the Institute Planning Task Force or Gerrit TenBrink or Lucy Race in the CASC office (202-659-3856). Thank you for your cooperation. We are looking forward to seeing you and your colleagues at the 1979 National Institute.

Sincerely,

Gary H. Quehl
President of CASC

Robert V. Cramer
President of Carroll College (WI)
and Chairperson, National
Institute Planning Task
Force

GHQ:RVC/lr

Enclosures: Questionnaire
List of Task Force Members

PLEASE RETURN BY DEC. 15, 1978
TO: Lucy Race, CASC, Suite 320
One Dupont Circle
Washington, DC 20036

THE COUNCIL FOR THE ADVANCEMENT OF SMALL COLLEGES

1979 NATIONAL INSTITUTE QUESTIONNAIRE

The purpose of this questionnaire is to provide the 1979 Summer Institute Task Force and the CASC staff with basic descriptive data about your college's institutional advancement efforts--those programs in the broad fields of development or fund raising, public relations, and alumni affairs whose purpose is to advance the understanding and support of your college. If an answer is not readily apparent, please use an average or an educated calculation.

* * *

INSTITUTIONAL IDENTIFICATION

Name of College _____

Name of Respondent _____

Respondent's Title _____ Phone ( )_____

Total educational and general (E&G) expenditures, including student aid, of the institution. $_____

Check number of FTE students (Fall, 1978)

____up to 500	____751-1000	____1251-1500
____501 - 750	____1001-1250	____1501 and over

GENERAL MANAGEMENT

1. Check the functions included in the advancement program of your institution:

1. ____Fund Raising	9. ____Placement
2. ____Admissions	10. ____Public Relations and Publicity
3. ____Alumni Affairs	
4. ____Government Relations	11. ____Publications
5. ____Photographic Services	12. ____Conferences
6. ____Physical Plant Planning	13. ____Special Events
7. ____Church Relations	14. ____Others (specify) _____
8. ____Parent Programs	

2. Total institutional expenditure (including salaries and benefits) to perform the functions checked above. $_____

3. Are these functions centrally managed by one officer responsible for these functions? ____yes ____no

4. If yes, for approximately how many years has this office existed? ____years

5. To whom does the chief administrator responsible for these functions report?
____president ____other (specify) _____

6. Does this administrator have a position in the top executive officer's group? ____yes ____no

7. Indicate the following information about your professional advancement personnel:

Position	Years with Institution	Years in Position	Years of Experience in Field	Highest Degree	Age	Sex
Coordinating Manager Title:_____	____	____	____	____	____	____
Public Relations/Information Officer Title:_____	____	____	____	____	____	____
Publications Officer Title:_____	____	____	____	____	____	____
Fund Raising Officer Title:_____	____	____	____	____	____	____
Alumni Affairs Officer Title:_____	____	____	____	____	____	____
Other Functions: Title:_____	____	____	____	____	____	____
Title:_____	____	____	____	____	____	____

8. Number of institutional advancement (I.A.) professionals (FTE). ____FTE

9. Number of supporting (I.A.) clerical/secretarial personnel (FTE). ____FTE

10. Are there plans to enlarge your professional (I.A.) staff the next two years? ____yes ____no

11. Does your institution have a long-range plan that includes projected program changes and a long-range budget? ____yes ____no

12. Are your institution's objectives in writing and clearly known to you? ____yes ____no

13. Aside from a single dollar goal, does the advancement office have written annual goals and objectives? ____yes ____no

14. Are you using professional counsel for managing any aspect of your advancement program? ____yes ____no

15. Is their an active, working trustee committee that assists the I.A. office? ____yes ____no

FUND RAISING

16. Using the indicated code, designate the average monthly number of face-to-face requests for gifts made:
(code: 0 = 0 calls, 1 = 1-3 calls, 2 = 4-7 calls, 3 = 8+ calls)

	By: Trustees	By: President	By: Staff Personnel Alone
ON: Trustees	_____	_____	_____
Corporations	_____	_____	_____
Foundations	_____	_____	_____
Individuals	_____	_____	_____

17. The percent of all $100-plus donors and prospects solicited face-to-face by trustees ____%, president ____%, staff alone ____% volunteers ____% (total = 100%)

18. Is your college a member of an association of colleges organized to raise annual funds? ____yes ____no

19. What percentage of your annual unrestricted giving is accounted for by this association.---------- ____%

20. What percentage of your total monetary contributions are received from each of the following donor categories:

alumni---------- ____%
parents---------- ____%
students (not tuition or fees)---------- ____%
trustees---------- ____%
faculty---------- ____%
individuals (other than above)---------- ____%
foundations---------- ____%
businesses---------- ____%
churches---------- ____%
deferred gifts---------- ____%
government grants---------- ____%
Total = 100 %

21. What percentage of volunteer work in behalf of the college's fund-raising efforts is by the following:

alumni	____%
parents	____%
students	____%
trustees	____%
faculty	____%
individuals (other than above)	____%
Total =	100 %

22. What percentage of your fund-raising efforts are for annual unrestricted monies. ____%

23. What is the size of your total mailing list? ---------- ____

24. Are your address records computerized? ____yes ____no

25. Are your donor records computerized? ____yes ____no

26. What is the average turn-around time in acknowledging a gift? ____days

27. Have you conducted a market analysis (who gives and why) of your donor constituency? ____yes ____no

28. Do you have a special "giving club" for major donors ($1,000 minimum)? ____yes ____no

29. Do you have a legally separate foundation for the purpose of raising funds? ____yes ____no

30. Do you actively solicit - bequests ____yes ____no
- annuities ____yes ____no
- trusts ____yes ____no

31. What is the total professional staff time (FTE) that is used to raise money. ____FTE

32. Of this total amount (#31), specify the percentage of the total staff time spent raising funds from the following donor categories:

alumni	____%
parents	____%
students	____%
trustees	____%
faculty	____%
individuals (other than above)	____%
foundations	____%
businesses	____%

churches---------- ____%
deferred gifts---------- ____%
government grants---------- ____%
Total = 100 %

33. Have you had a major capital campaign in the last three years? ____yes ____no

34. Do you plan to have a major capital campaign in the next 3 years? ____yes ____no

35. Is an active effort made to bring potential major donors to the campus? ____yes ____no

36. Indicate the total private gifts received during your last complete fiscal year.
capital $_____ operations/unrestricted $_____

INSTITUTIONAL RELATIONS

37. What is the total professional staff time (FTE) spent with the institutional relations activities listed in #38? ____FTE

38. Of this total amount (#37), specify the percentage of time spent in the following activities:

publication writing---------- ____%
publication design---------- ____%
photography---------- ____%
type-setting---------- ____%
sports information---------- ____%
conference activities---------- ____%
speaker's bureau---------- ____%
special events---------- ____%
news releases---------- ____%
student outreach teams---------- ____%
advertising---------- ____%
public relations---------- ____%
Total = 100 %

39. Within the last three years, has market analysis been conducted measuring the effectiveness of your communication program among various constituencies? ____yes ____no

40. Are all the institution's news releases cleared through a central office? ____yes ____no

41. Does your college have a public relations advisory group comprised of people outside the institution? ____yes ____no

42. Using the indicated code, specify the importance of the following public relations goals for your institution:

(Low-0, 1, 2, 3, 4-high)

attract prospective students---------- ____
add to the college's academic reputation--------- ____
report news---------- ____
raise funds---------- ____
provide a community service---------- ____
favorable relations with the faculty---------- ____
favorable relations with the community---------- ____
educate the public about higher education-------- ____
show the importance of religion in education----- ____
build and hold good will for the institution----- ____

PUBLICATIONS

43. What is the format of your principal general publication?

____magazine ____tabloid ____newsletter ____other_____

44. Frequency of mailing the above:

____quarterly ____bi-monthly ____monthly ____other_____

45. Is the majority of your college promotional literature printed on campus? ____yes ____no

46. Do you have an institutional policy which requires that all publications be approved by one central office? ____yes ____no

47. Have you conducted (within 3 years) a readership poll of the recipients of your publications? ____yes ____no

48. Is the (I.A.) office responsible for the publication of student recruitment literature? ____yes ____no

ALUMNI PROGRAMS

49. Do you have a legally incorporated, independent alumni organization? ____yes ____no

50. Is the alumni organization funded by the institution? ____yes ____no

51. Is fund raising part of the responsibility of the alumni association? ____yes ____no

52. If you have regional alumni chapters are they active? ____yes ____no

53. Do you have a special alumni program for recent graduates? ____yes ____no

54. How much professional staff time (FTE) is spent with alumni activities? (not raising funds directly i.e. Homecoming, etc.) ____FTE

GOVERNMENT RELATIONS

55. Within the last year, how many voluntary activities (lobbying, dinners, visits, etc.) have been conducted to improve your institution's relationship with a state or federal agency? _____

56. Does you institution actively seek government grant funding? ____yes ____no

57. If yes, what is the title of the person responsible for grant preparation? _____

GENERAL

58. Please describe the most pressing need you have within each of the following areas which could be dealt with during the CASC 1979 National Institute:

Management:

Fund Raising:

Institutional Relations:

Publications:

Alumni Administration:

Government Relations:

59. Please attach your current organizational chart covering the institutional advancement areas. If not available, please draw below. Starting with the president, carry the chart down to, but not including, clerical help and use titles not names.

APPENDIX B

COLLEGES PARTICIPATING IN THE STUDY

COLLEGE	RESPONDENT'S NAME AND TITLE
Anna Maria College Paxton, Massachusetts	Sr. Bernadette Madore President
Annhurst College Woodstock, Connecticut	Dr. Paul Buchanan President
Augustana College Sioux Falls, South Dakota	Robert A. Evenson Vice President-Development
Averett College Danville, Virginia	Conwell A. Anderson President
Barat College Lake Forest, Illinois	William P. Moloney Director of Development
Barrington College Barrington, Rhode Island	Dr. John M. Gustafson Acting President
Bartlesville Wesleyan College Bartlesville, Oklahoma	John M. Snook President
Bethany College Lindsborg, Kansas	Kenneth Siogren Director of Development
Bethany Nazarene College Bethany, Oklahoma	John A. Knight President
Bethel College Mishawaka, Indiana	Charles Kirkpatrick Director, College Relations
Bethel College St. Paul, Minnesota	Morris E. Anderson Director of Public Affairs
Bradford College Bradford, Massachusetts	John Trayte Goodall Assistant to President for College Resources
Brenau College Gainesville, Georgia	W. Michael Banks Director of Development
Brescia College Owensboro, Kentucky	Delbert S. Murphy Vice President for Development

COLLEGE	RESPONDENT'S NAME AND TITLE
Bryan College Dayton, Tennesse	Theodore C. Mercer President
Buena Vista College Storm Lake, Iowa	William F. Irons Vice President for Business Affairs
Cabrini College Radnor, Pennsylvania	John J. Heiberger, Jr. Director of Development
California Lutheran College Thousand Oaks, California	Verlon C. Meyer Vice President for Development
Carlow College Pittsburgh, Pennsylvania	John Kalamarides, Jr. Vice President for Development
Carroll College Helena, Montana	Russell J. Ritter Vice President for College Relations
Carroll College Waukesha, Wisconsin	James O. Avison Vice President for Development
Central College Pella, Iowa	Gary Trimmer Vice President for Development
Clarke College Dubuque, Iowa	Dr. Meneve Dunham President
College of Great Falls Great Falls, Montana	William T. P. Zader Vice President of Development
College Misericordia Dallas, Pennsylvania	Thomas E. Pugh
College of Mount Saint Vincent Riverdale, New York	Sr. Doris Smith President
College of Mount St. Joseph Mount Saint Joseph, Ohio	L. Peter Edles Vice President for Development
College of Notre Dame Baltimore, Maryland	Ursula McCracken Director of Development

COLLEGE	RESPONDENT'S NAME AND TITLE
College of Saint Benedict Saint Joseph, Minnesota	Thomas Neal Ehlman Vice President for Development
College of Steubenville Steubenville, Ohio	Dr. Edward W. Herbert Provost
Columbia College Chicago, Illinois	Jack Wolfsohn Development Director
Covenant College Lookout Mountain, Tennessee	E. Allen Duble Vice President for Development
Curry College Milton, Massachusetts	William L. Boyle, Jr. President
Dakota Wesleyan University Mitchell, South Dakota	Donald E. Messer/David Putman President, Director of Development
Davis & Elkins College Elkins, West Virginia	George E. Hermanson President
Doane College Crete, Nebraska	Willard W. Grosz Vice President for Development
Dominican College of Blauvelt Orangeburg, New York	Sr. Michaela Connolly Director of Development
Dordt College Sioux Center, Iowa	Rev. B. J. Haan President
Eastern Mennonite College Harrisonburg, Virginia	John D. Stahl Director of Institutional Research
Edgewood College Madison, Wisconsin	Sr. Alice O'Rourke President
Eureka College Eureka, Illinois	Sharon Miller Eichenberger Coordinator of Development
Felician College Lodi, New Jersey	Sr. Mary Hiltrude President
Findlay College Findlay, Ohio	Glen R. Rasmussen President

COLLEGE	RESPONDENT'S NAME AND TITLE
Friends University Wichita, Kansas	Ken Cable Director of Development
Flagler College Saint Augustine, Florida	A. H. Tebault Vice President of College
Fresno Pacific College Fresno, California	Roger D. Friesen Director of Institutional Advancement
Gardner-Webb College Boiling Springs, North Carolina	Paul E. Holcomb Director of Development
George Fox College Newberg, Oregon	Maurice Chandler Director of Development
Gordon College Wenham, Massachusetts	Gordon R. Werkema Senior Vice President
Goshen College Goshen, Indiana	Daniel Kauffman Director of College Relations
Grace College & Seminary Winona Lake, Indiana	Richard G. Messner Director of Development
Grand Rapids Baptist College Grand Rapids, Michigan	James G. Courey Director of Development
Gwynedd-Mercy College Gwynedd Valley, Pennsylvania	Sr. Lois McDonough Director of Development
Holy Family College Philadelphia, Pennsylvania	Sr. Mary Lillian President
Houghton College Houghton, New York	Daniel R. Chamberlain President
Huntington College Huntington, Indiana	Robert L. Baker Executive Director of Institutional Advancement
Huron College Huron, South Dakota	W. L. Jahnke President
Illinois College Jacksonville, Illinois	Howard Jarratt Director of Development
Incarnate Word College San Antonio, Texas	Michael Davis Director of Development/ Alumni

COLLEGE	RESPONDENT'S NAME AND TITLE
John Brown University Siloam Springs, Arkansas	John Brown, III Vice President
Judson College Elgin, Illinois	Dr. Harold Blatt Vice President for Development
Kansas Newman College Witchita, Kansas	J. Michael Keller Director of Development
King College Bristol, Tennessee	Roy Patterson, Jr. President
King's College Wilkes-Barre, Pennsylvania	James Lackenmier Director of Development
Ladycliff College Highland Falls, New York	Francis J. Breidenbach President
Lake Erie College Painesville, Ohio	Charles Simmons President
Lakeland College Sheboygan, Wisconsisn	Richard E. Hill President
LeRoche College Pittsburgh, Pennsylvania	Patrick J. Leonard Director of Development
Lee College Cleveland, Tennessee	Charles W. Conn President
MacMurray College Jacksonville, Illinois	H. T. Meinersmann Director of Development
Madonna College Livonia, Michigan	Sr. Mary Lauriana Vice President
Marian College Indianapolis, Indiana	Burk Friedersdorf Director of Development & College Relations
Marion College Marion, Indiana	William L. Economan Director of Institutional Advancement
Mars Hill College Mars Hill, North Carolina	James R. Cox Director of Development
Mary College Bismarck, North Dakota	Ernest B. Borr Vice President for Public Affairs

COLLEGE	RESPONDENT'S NAME AND TITLE
Mary Baldwin College Staunton, Virginia	William G. Wehner Vice President for Development
Marymount College of Kansas Salina, Kansas	Sr. Mary Buser President
McKendree College Lebanon, Illinois	Adolph Unruh Interim President
McPherson College McPherson, Kansas	D. Eugene Lichty Director of Development
Mercy College of Detroit Detroit, Michigan	Sr. Agnes Mary Mansour President
Messiah College Grantham Pennsylvania	David P. McBeth Director of College Advancement
Mid-America Nazarene Olathe, Kansas	John Stephens Director of Institutional Research
Millikin University Decatur, Illinois	Wayne W. Krows Vice President for Development
Missouri Baptist College St. Louis, Missouri	Robert S. Sutherland President
Molloy College Rockville Centre, New York	Joseph A. Mahoney Vice President for College Relations
Mount Mary College Milwaukee, Wisconsin	Sr. Ellen Lorenz Academic Dean
Mount Mercy College Cedar Rapids, Iowa	R. Balster Vice President
Mundelein College Chicago, Illinois	Daniel G. Cahill Vice President for Development
Muskingum New Concord, Ohio	Robert F. Adams Assistant Vice President of Resources & Public Affairs

COLLEGE	RESPONDENT'S NAME AND TITLE
North Park College & Theological Seminary Chicago, Illinois	Robert G. Poor Acting Director of Development
Northwest Christian College Eugene, Oregon	William E. Hays President
Northwestern College Orange City, Iowa	Robert Wallinga Director of Development
Northwestern College Roseville, Minnesota	Dr. William B. Berntsen President
Northwest Nazarene College Nampa, Idaho	K. H. Pearsall President
Notre Dame College Cleveland, Ohio	Harriet T. More Director of Institutional Research
Nyack College Nyack, New York	Thomas P. Bailey President
Oakland City College Oakland City, Indiana	Richard V. Beesley Executive Vice President
Ohio Dominican College Columbus, Ohio	Sr. Thomas Albert Corbett Director of Institutional Research
Oklahoma Christian College Oklahoma City, Oklahoma	Dr. J. Terry Johnson President
Our Lady of Angels College Aston, Pennsylvania	Peter G. Federico Director of Development
Paul Quinn College Waco, Texas	Dr. L. C. Wood Dean
Pikeville College Pikeville, Kentucky	Jackson O. Hall President
Point Loma College San Diego, California	R. Neil Rimington Director of Financial Development
Roberts Wesleyan College Rochester, New York	Clarke A. Caldwell Director of Development

COLLEGE	RESPONDENT'S NAME AND TITLE
Rosemont College Rosemont, Pennsylvania	Richard S. Hopkins Director of Development
Saint Alphonsus College Suffield, Connecticut	No development responsibilities
Saint Mary College Leavenworth, Kansas	Sr. Mary Vincentia Maronick Director of Development
Saint Mary's College Orchard Lake, Michigan	Rev. Leonard F. Chrobot President
Saint Mary-of-the-Woods College Saint Mary-of-the-Woods, Indiana	Jean Fuqua Vice President for Development
Saint Martin's College Olympia, Washington	Daniel G. Coppin Director of College Development
Saint Meinrad College Saint Meinrad, Indiana	John MacCauley Director of Development
Saint Michael's College Winooski, Vermont	Richard DiVenere Vice President for Institutional Advancement
Saint Thomas Aquina's College Sparkill, New York	Donald T. McNelis President
Seton Hill College Greensburg, Pennsylvania	Eileen Farnell President
Shaw College at Detroit Detroit, Michigan	Romallus O. Murphy President
Silver Lake College Manitowoc, Wisconsin	Sr. Anne Kennedy/Doug Mrotek President, Assistant in Development
Sioux Falls College Sioux Falls, South Dakota	Ed Stevens Director of Development
Spring Arbor College Spring Arbor, Michigan	David L. Gines Vice President for Development
Sterling College Sterling, Kansas	Robert B. McCreery Vice President for Development

COLLEGE	RESPONDENT'S NAME AND TITLE
Susquehanna University Selinsgrove, Pennsylvania	Homer W. Wieder Vice President for Development
Tabor College Hillsboro, Kansas	Steven Schmiess Associate in Advancement
Taylor University Upland, Indiana	Gregg Lehman Vice President for Business Affairs & Development
Texas Lutheran College Seguin, Texas	C. N. Oestrifich President
Thiel College Greenville, Pennsylvania	Louis T. Almen President
Tift College Forsyth, Georgia	Robert Jackson President
Trevecca Nazarene College Nashville, Tennessee	Claude W. Diehl Vice President for Development
Trinity College Deerfield, Illinois	Harvey R. Bostrom Vice President for Development
Trinity College Washington, D.C.	Sr. Rose Ann Fleming President
Urbana College; Urbana University Urbana, Ohio	Carol A. Voelz Development Office
Villa Maria College Erie, Pennsylvania	Dennis Stefanacci Vice President for External Affairs
Westmar College Le Mars, Iowa	Hal Kamm Vice President for Development
Westminster College Salt Lake City, Utah	Dr. Helmut Hofmann President
Westmount College Santa Barbara, California	Edwin J. Potts Assistant to President

COLLEGE	RESPONDENT'S NAME AND TITLE
Wheeling College Wheeling, West Virginia	Rev. Charles L. Currie President
Whitworth College Spokane, Washington	Joseph P. H. Black Vice President
William Jewell College Liberty, Missouri	Dr. Bruce R. Thomson Executive Vice President

APPENDIX C

Suggestions for Additional Research

Possibilities for additional research into the institutional advancement programs of small independent colleges include both specific and general areas of concern. The following suggestions reflect questions the study did not answer and questions the study raised:

1. The research in this should be replicated to establish the validity of the research methodology. As the area of institutional advancement matures and more research studies are conducted, the framework benchmarks should be refined or changed to reflect increasing knowledge. As the benchmarks are refined they will become more quantifiable, assuring a more accurate judgment on the research methodology.

2. The framework benchmarks should be tested against other selected populations. This effort would help validate the usefulness of the framework. Particular concern needs to be given to the size of the colleges as measured by enrollment, gift income, and total E&G expenditures. It appears that the characteristics of a college with an enrollment under 1,000 full-time equivalent students are quite different from those of a college with 1,000 to 2,000 students. Even though the framework is designed for the small college, it may be necessary to distinguish between the small (1,000-2,000 students) and the very small (fewer than 1,000 students).

3. The phenomenon of the "one-person shop" needs to be evaluated. In the past, we've considered this person to be a magical do-it-all being. However, we now have reason to question the wisdom of such a minimal expenditure for advancement. There may be a point of diminishing return where no staff is just as good as a limited one. In other words, a certain amount of money will come in as a byproduct of ongoing institutional life. If any commitment is going to be made to advancement, it should be a complete and well-thought-out approach, consistent with institutional resources.

4. More detailed research should be done on the effectiveness of solicitations with an assessment of the productivity of each type of approach (telephone, personal visit, letters, etc.). This research should also emphasize the role of peer relations in a solicitation, i.e., should the solicitor and prospective donor be "matched" on certain variables--age, wealth, social status, reli-

gious beliefs, etc. Can a young person solicit an older one? Does it take a rich person to solicit a gift from a wealthy prospective donor?

5. Research needs to be conducted on who gives and why, particularly to the small, independent college. Does the motivation for giving differ according to size of school, its rules, curriculum, church affiliation, or location? Only when this type of information is available will the small college be able to write appeal letters intelligently or plan the entire advancement process wisely.

6. Research is needed on donor cultivation. What sort of activities and events will acquaint people with a college in such a way that they will be motivated to become donors? Is it possible that some people don't need or want to be "cultivated"?

7. Research should be done on donor recognition. Do people really want plaques, paperweights, and all the other recognition "give-aways"? If they do, which ones provide the best motivation for giving? Are recognition needs different for donors from larger schools?

8. What makes a good advancement officer, particularly at the small, independent college? What are the personnel characteristics that facilitate a successful advancement program? Do fund-raising experience, age, or educational degrees affect a person's ability to "make it happen"? If these characteristics do make a difference, how can the small college identify prospective personnel who have them?

9. Research is needed to help the small college identify its uniqueness and its markets. Ideally, this research would produce a framework that advancement officers could apply to their institutions to develop an effective marketing plan.

10. Research is needed on how the small college should proceed with prospect research. Seldom does the small college advancement office have a large pool of prospects. An analysis should identify what is being done, and a framework should be developed to suggest what <u>should</u> be done.

11. Study is needed on how personnel outside the advancement office affect the success of the institutional advancement program. Just how much planning and programming can advancement personnel do to develop understanding and support? Similarly, how much does the college's

image actually rest with people who represent the institution? A small college's image often comes from some specific events involving a few people, and that image--whether accurate or not--is not easily changed.

12. It has been stated that presidential leadership may well be a basic and prime force behind a college's success. Research is needed to test this notion, particularly as it affects the advancement function. Can a small college succeed with an ineffective president? What are the short- and long-term effects of an ineffective president?

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